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ABSTRACT

This report, sponsored by a coalition of District of Columbia-based higher education associations and public higher education systems, examines a wide range of faculty employment policies. The project was undertaken to encourage a proactive approach to preparing the higher education workforce for the 21st century and to address concerns of parents, students, and policymakers about the efficiency, effectiveness, and affordability of public higher education institutions. The report is organized under three broad categories: (1) faculty employment, including terms of employment (tenure and nontenure track, probationary periods, contracts, compensation, faculty tasks), recruitment and diversity, and separations (retirement, layoffs, separation for cause); (2) faculty development and faculty reward structures (tenure and promotion, awards and incentives, sabbaticals, instructional technology); and (3) faculty review policies. Each section looks at the current range of policies, takes notes of public perceptions, and offers a number of policy recommendations. In all, the report makes 49 policy recommendations, which are separately appended to the report. (Contains approximately 180 references, organized by topic.) (CH)

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Facing Change

Building the Faculty of the Future

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Sponsoring Associations and Contributing Systems

American Association of State Colleges and Universities

American Association of Community Colleges

American Council on Education

Association of Governing Boards of Universities and Colleges

California State University

State University System of Florida

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University System of Maryland

Minnesota State Colleges and Universities

Pennsylvania State System of Higher Education

State College System of West Virginia

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Letter from the Chair

Public support of higher education coincides with the public faith that education is the key to better lives and better communities in the United States.

Faculty and the administrators of our colleges work hard to make these beliefs a reality. We do not always succeed. We often do not explain our successes or failures well. We are often defensive about critical inquiries into what we do and the results of our efforts. It is clear that building trust must be high on all university and college agendas.

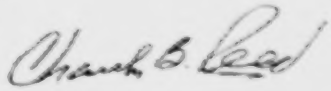
American higher education has achieved a world-class reputation for its accessibility to the baccalaureate degree, research and graduate education. Increasingly, colleges and universities are beginning to focus more on learning outcomes and to experiment with different ways to produce success. To build public trust, we need to examine what we have done well and what may need to change to generate the results valued by all of our publics.

The achievement of world-class learning outcomes in American higher education has been earned through the honest toil of thousands of faculty. The same faculty have their critics too. Books such as *Profscam* and *The Closing of the American Mind* and as stinging criticism of the faculty. Because faculty are both central to our success and magnets for criticism, the time seemed right for a review of institutional policies that affect faculty. A group of Washington D.C.-based higher education associations and public higher education systems took up the challenge. A representative working group reviewed faculty policies in light of the need to build trust and help colleges and universities improve their flexibility to respond to the challenges of the 21st century.

The report that follows is a thoughtful look at a wide range of faculty policies. There are three reports that address employment, faculty development, and other faculty policy matters. You will find subject matter overlap (e.g. tenure) and unique material among the sections. The policy recommendations directly address such controversial matters as post-tenure review, sabbaticals, and issues of diversity.

Adoption of any of these policy recommendations, however, is the responsibility of the colleges and universities. This report sets forth a full agenda of issues to explore and resolve. Its national perspective will require local modification, but it provides a broader importance to issues that often seem provincial.

We think it is the beginning of an answer to "So, what should we do now?"



Charles B. Reed
Chair, Faculty Policy Review Project
Chancellor, California State University

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Sponsoring Associations and Contributing Systems

- American Association of State Colleges and Universities
- American Association of Community Colleges
- American Council on Education
- Association of Governing Boards of Universities and Colleges
- California State University
- State University System of Florida
- State University of New York
- University System of Maryland
- Minnesota State Colleges and Universities
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Executive Summary

Recapturing the obligations of tenure, adding more accountability to sabbaticals,and incorporating part-time faculty members into the fabric of campus life are among the recommendations of the Faculty Policy Review Project, a comprehensive study of faculty employment, development policies, and review policies that addresses the new paradigm faculty in U.S. higher education will face in the 21st century.

In all, the Faculty Policy Review Project led to nearly 50 recommendations in three critical areas: faculty employment policies, faculty development policies, and faculty review policies. The project involved representatives from across the spectrum of publicly-funded colleges and universities, each of whom was assigned to a work group for one of these topical areas. The work groups began their review in November 1997 and completed the report in late summer 1998.

The project was sponsored by a coalition of Washington-based higher education associations led by the American Association of State Colleges and Universities (AASCU). In addition to the policy work groups, a policy council that included members from legislative, governing boards, and higher education leadership positions was formed to provide guidance and oversight. The Policy Council was chaired by Charles B. Reed, chancellor of California State University.

The purpose of the project was twofold**(1)** for higher education itself to take a proactive approach in preparing the higher education workforce and workplace for the 21st century, and**(2)** to address the growing concern of parents, students, policy-makers and others who have raised serious questions about the efficiency, effectiveness and affordability of public higher education institutions.

In this era of greater accountability, many of those concerns have focused on the workload and employment conditions of faculty. While the Project's three work groups reaffirmed most philosophies and many practices regarding faculty, they also recommended many new approaches. A summary of the recommendations for each of the work groups follows.

Faculty Policies

Faculty Employment Policies

A quality faculty workforce is essential if higher education is to meet society's demands and expectations. But the circumstances in which higher education finds itself pose significant challenges.

- Faculty employment patterns are in flux.
- Institutions are faced with declining financial resources while student enrollments increase.
- Society's workforce needs are rapidly changing.
- Faculty tenure continues to be scrutinized and its value questioned.

A primary focus for higher education is to develop a faculty workforce that enhances institutional flexibility, meets student needs, inspires public confidence, maintains institutional integrity and achieves valued educational outcomes. This is the context in which employment policy recommendations were assessed and developed.

A summary of employment policy recommendations includes:

- Faculty tenure should be retained. However, the awarding of tenure carries with it obligations that must be clear to faculty and to the public they serve. Institutions must be vigilant to ensure integrity in the concept and practice of tenure through rigorous evaluation and innovation. Granting tenure based principally on length of service should be eliminated.
- Formal institutional policies should govern recruitment, selection, appointment and evaluation of non-tenure track faculty. Part-time faculty should be compensated on the same basis as equivalent full-time faculty.
- Institutions should determine faculty mix–both by position and employment category–based on mission, educational objectives and financial resources.
- Faculty recruitment should be guided by institutional mission and strategic goals; formal recruitment plans should be developed and should include a diversity component.
- Institutions should make a major commitment to faculty orientation and development and support that commitment by appropriate financing.
- Institutions need flexibility to preserve strong programs and to fulfill their mission. Employment policies should allow for layoff or retrenchment and, in so doing, take into account faculty performance as well as seniority.
- Retirement planning should be integrated into professional development programs.

Faculty Development Policies

Faculty development is an investment in the ongoing professional development of faculty. Both within and outside of the academic community, higher education has failed to effectively articulate the case for a program of systematic, progressive faculty development. In addition, higher education has been unwilling or unable to reform itself. These recommendations take a major step toward remedying that situation.

Those recommendations include the following:

- Faculty development–and especially awards and incentives– should be closely tied to the institution's mission and goals. Too often in the past, these decisions have been made based on the individual needs of the faculty, not the mission and goals of the institution.
- All institutions of higher education should give greater value to quality teaching in tenure and promotion decisions. While some progress has been made in this area in recent years, much more is needed.
- Faculty development opportunities–including advancement and rewards–should be made available to part-time faculty. Given the increasing importance of part-time faculty in the faculty mix, investing in part-time faculty is just as important as it is to invest in full-time faculty.

- Sabbaticals should be retained, but expanded to include greater flexibility in length and scope, such as the successful faculty improvement leaves which some institutions have initiated. In addition, there should be greater accountability and monitoring for sabbaticals of all types.

- Institutions should support faculty development opportunities in instructional technology, as well as recognize and reward all aspects of curriculum innovation. Used as a teaching, learning, research and communication tool, technology has the potential to transform and expand the higher education experience. Faculty must know how to effectively use this tool of the 21 century.

Faculty Review Policies

Improved systems of faculty evaluation offer us ways of achieving substantive change in our educational systems without relying exclusively on cuts and program closure. In reality, the best opportunity for widespread change is for us to learn to manage our human resources better. But even this will not be sufficient if all new hiring opportunities are not immediately scrutinized at the highest institutional levels and new human capital defined, directed and deployed with originality and attention to institutional mission. Acceptance of our institutional responsibility to identify, retain, and develop the appropriate faculty will provide us with the flexibility to recreate ourselves as needed to respond to the new mandates of higher learning in the coming century. Recommendations on improving faculty review policies include the following:

- All institutions which award tenure must have in place effective systems for reviewing the performance of tenured faculty. Post-tenure review demonstrates higher education's commitment to high levels of performance even within the guarantees of tenure.

- Colleges and universities must review all faculty evaluation processes, take steps to eliminate redundancy, and ensure that all reviews are consequential.

- As the institutional mix of full time, part time, adjunct and other employment arrangements is developed, it is critical that an effective annual performance evaluation be integrated into the faculty role and reward systems of the institution; both for its stand alone value and as a foundation for all other types of performance review.

- Criteria and expectations for tenure, as well as criteria for promotion in academic rank, must be compatible with the mission of the institution, developed in consultation with faculty and approved at the institutional level.

- Uncapping the working years of the tenured workforce occurred in 1994 when the Age Discrimination in Employment Act (ADEA) was applied to higher education. Little analysis of the impact of this has been done to date, and further analysis is necessary.

- Institutions must make strategic decisions about which accreditations they wish to pursue, and must select only those agencies which recognize and support individual institutional missions and higher education's mandate to attend to the changing world of learning and work.

Higher education must learn to manage human resources better and, indeed, define, direct, and deploy our intellectual resources with originality and attention to evolving institutional missions. This project offers bold and creative policy recommendations that will guide our institutions as they work to ensure that society continues to reap the benefits of higher education's greatest asset, the expertise of our faculty.

Preamble

Employment Policies

Faculty employment patterns in American higher education are in flux. Declining financial resources and increasing enrollments have combined with rapid changes in workforce needs in such a way that institutions must be both flexible and creative in the fulfillment of their missions. At the same time, public allegations of faculty privilege and widespread misunderstanding of tenure challenge existing faculty work arrangements. Higher education must construct and deploy the faculty work force so that student needs are met, public confidence is enhanced, institutional integrity is maintained, and positive educational outcomes are assured.

Institutions have already begun to address these escalating pressures. The discussion and policy recommendations that follow are drawn from various institutional arrangements, as well as from a growing literature on faculty employment patterns.

Of course, any such discussion inevitably raises the question of whether academic tenure is essential. In addition, institutions' increasing reliance on part-time (and, to a lesser extent, full-time) non-tenure track faculty–and the frequently oppressive conditions of such employment–must be examined in the context of desired educational outcomes.

This study, while not revolutionary, suggests that institutions should be creative and forward-looking in their planning. Tenure should not be abolished, but institutions must be vigilant if the integrity of tenure is to be maintained in concept and practice; rigorous evaluation and innovation (when appropriate) are critical. Moreover, institutions should engage in thoughtful planning with respect to appropriate faculty mix, i.e., what proportion should be tenure eligible, full time, and part time. These proportions are likely to vary by academic program. A well-planned approach to building the faculty of the future should also include systematic attention to recruitment, assignment, and formative development of new faculty. Finally, institutions of higher education should also attend to the process by which–and the reasons for which–faculty leave the profession.

In revising an institution's employment policies, it is critical that the problems to be addressed and how the proposed modifications might ameliorate those problems be clearly understood. For example, if the problem is budgetary, the institution would do well to work through a model of anticipated savings and effects. If the problem is finally understood to be in the administration of the tenure system rather than in the policy, then remedial action should be directed at the practice of administration. Whatever the problem, it must be explicitly stated and analyzed; the solution must be designed specifically to address the problem.

Terms of Employment

As institutions experiment with different terms of employment, the critical question becomes "what is the appropriate mix of employment categories?" How many positions should be tenure-track? How many should be full-time, nontenure track? How many should be part-time, nontenure track?

Recent literature has explored new patterns of employment, including simple renewable term contracts, continuing contracts with a guaranteed severance period upon termination, rolling contracts similar to those given to athletic coaches, and voluntary nontenured status accompanied by higher salary (trading the tenure "property value"), as well as fixed term tenure followed by a series of term contracts.

Placement on the tenure track has been the standard pattern of faculty employment in higher education. This includes a period of probation, during which the individual is evaluated; if the evaluation is positive, the individual receives permanent status (tenure). The tenure system is largely accepted, but the media and the public have recently raised new criticisms of it. Nevertheless, there are sound reasons to continue the practice of tenure in higher education. It is important to clarify what tenure is, why it exists, and what limits pertain.

Tenure-Track Faculty

The concept of tenure developed for the most important of reasons. Fundamentally, the purpose of the university in a free society is to serve society by seeking truth and speaking as much truth as has been discovered. The privilege of seeking truth in a university and speaking when one thinks it has been found defines academic freedom. Academic freedom itself promotes the independence of views essential to the advancement of knowledge in a democratic society. Tenure provides the security that allows faculty members to seek truth and speak it freely.

It is essential that tenure continue to exist as a possibility for a majority of faculty. A core of tenured professionals promotes the educational mission of higher education.

Tenure is often misperceived as merely "job security." When it is incorporated into collective bargaining, it takes on the appearance of an employment benefit, perhaps equivalent to a dental plan. Such perceptions fail to recognize that the concept of tenure as originally described by the American Association of University Professors (AAUP) involves a mutuality of obligation between institution and faculty member (Report of the University of Illinois Seminar on Tenure, 1997).

Obligations of Tenure

Responsibilities of tenure include an obligation to protect the academic freedom of the nontenured; collegial contributions to the governance of the institution; ongoing commitment to professional growth; fulfillment of the mission of the institution; and maintenance of the highest professional standards. The obligations and institutional expectations of tenure should be communicated explicitly to tenure-track faculty at the time of appointment and should be emphasized in new faculty orientation programs. Institutional reward structures should reflect the valuing of achievements that represent fulfillment of these obligations.

The conferring of tenure should indicate confidence in an individual's ability to contribute to institutional success as well as to the discipline and the advancement of knowledge. Even as institutions demonstrate a continuing commitment to academic freedom through tenure, they should emphasize the mutuality of obligation that tenure entails.

Probationary Period

The concept of a probationary period during which faculty members aspiring to tenure are evaluated by peers is one method of quality assurance that helps to allay public skepticism about tenure. Since the AAUP issued its noted 1940 Statement, the standard probationary period in higher education has been seven years, with review for tenure generally occurring in the sixth year. The vast majority of higher education institutions operate on this probation-tenure system, which **(1)** assures quality by requiring a high standard of performance over a period of time long enough to suggest its continuation **(2)** rewards good teaching, high-quality scholarship, and productive service to the community and the professions; and **(3)** buttresses faculty morale and commitment to the institution.

The probationary period as a tough "weeding-out" process can build public trust in higher education. To foster such an understanding by the public, colleges and universities must adhere to rigorous procedures and criteria, consistent with institutional mission, for granting tenure. Tenure should never be granted principally on the basis of length of service.

The optimal length of the probationary period may vary by type of institution and even by type of faculty member. Research-intensive institutions, for example, may require a longer period to accurately assess the potential productivity of their faculty. Individual exceptions to the standard probationary period have been increasingly common in American higher education, resulting sometimes in shorter, and occasionally in longer, periods. There are sound reasons to consider varying the length of the probationary period for faculty members within a single institution; such considerations as academic discipline, variations in mission and assignment, and time out for family responsibilities may all be valid.

Acceptable reasons for "stopping the tenure clock" may include childbirth, adoption of a young child (in which case the option is usually extended to fathers as well as mothers), incapacity due to accident or illness, extended disability leave, or any other institutionally approved leave that takes the family member off the institution's payroll and to some activity that does not contribute to meeting standards for tenure (for example, government service). At research-intensive universities, reasons may also include adverse circumstances beyond the faculty member's control that delay research productivity (fire, flood, or earthquake, for example).

What is essential, both for the institution and for the sake of public trust in tenure, is that the probationary period be of sufficient duration to permit the institution to base its decision on adequate information.

Locus of Tenure

Locus of tenure is a variable that institutions may wish to rethink in light of efforts to increase flexibility. At many institutions, tenure is located in the academic department or equivalent unit—a concept which protects the integrity of specific academic programs but which can result in inflexibility for both faculty members and the institution.

Institutions should establish locus of tenure upon hiring any tenure-track professor. There is wide variation in practice, and varied loci of tenure within a single institution may be desirable. For example, tenure may be placed in more broadly defined service areas that may include more than a single curricular area or department. Institutions may benefit from faculty development opportunities made available to faculty whose programs face reduction. Retraining in related areas may recharge faculty members and inspire program development in new areas, whether initiated by individual faculty members or by the institution. If an institutional benefit accrues, such retraining programs are worthwhile. However, policies which provide broader locus of tenure typically require greater breadth of preparation at the time of appointment and may also require a wider range of assignments in the institution; thus, they may be a poor option for research-intensive institutions.

Terms of Tenure

Traditionally, tenure has been understood as employment through retirement. Application in 1994 of the Age Discrimination in Employment Act (ADEA) to higher education, "uncapping" the working years of the tenured work force, has suggested potential dilemmas. This very important issue has yet to be better analyzed, but preliminary findings suggest that the problems thought likely may have been exaggerated. More analysis is certainly needed. If faculty seem to be working until much later in their lives than prior to ADEA, pressure to advance the "term tenure" concept (limiting tenure to a specified number of years), as well as to devise creative retirement incentives, may arise. Post-retirement assignments, which have been used in the past, tie up dollars which otherwise might be made available for full-time replacements; other incentives should be explored. Some institutions have begun to award tenure on a part-time basis (for example, in shared appointments) or full-time tenure with only a portion of salary vested (in particular, at medical schools). Such arrangements may benefit both individuals and institutions.

Policy Recommendations

Tenure-Track Faculty

1. Tenure should be maintained, but institutions must be vigilant to ensure its integrity in concept and practice, through rigorous evaluation and innovation when appropriate. Except in institutional environments where the mission or program dictates otherwise, a substantial proportion of the faculty should be tenure eligible.

2. Institutions should implement deliberate efforts to enhance both faculty and public understanding of the obligations on faculty that are entailed by the tenure system.

3. The probationary period, during which tenure-eligible faculty are rigorously evaluated consistent with institutional mission expectations, should be retained. Any practice of granting tenure principally on the basis of length of service should be eliminated.

4. Institutions should explore the utility of variations in the probationary period, appropriate to variations in discipline and/or assignment. Similarly, institutions should continue the practice of "stopping the tenure clock" for reasonable cause; other adjustments, when appropriate, should be considered.

5. Institutions should establish locus of tenure upon hiring of tenure-track faculty and should consider varying the locus of tenure for faculty, appropriate to differences in discipline/assignment and institutional need. When variances occur, reasons should be explicit.

Full-time Nontenure Track Faculty

Nontenure track full-time faculty carry a full-time workload but are not eligible for tenure. Their roles and circumstances vary widely. On campuses that do not award tenure, they often have economic status similar to that of tenure-track faculty. They may have renewable appointment periods from one to several years' duration. Some of these faculty carry full teaching loads or are responsible for advising students but are not expected to participate on department or institutional committees or to conduct research. Others research appointments where little or no teaching is expected and the appointment is dependent on funding from grants. Others are clinical faculty, found in many health sciences schools, who are responsible for patient care and do some clinical teaching.

Nontenure track full-time faculty often bring expertise and experience that otherwise would not be available to an institution; they may teach courses in specialized areas in which an institution cannot afford to invest in a tenure-track position. These positions give the institution flexibility to respond to changes in demand for courses.

However, many nontenurable faculty are treated as second-class citizens by the institution itself and/or by tenured faculty. The lack of a long-term commitment to and from the institution, together with the need in many cases to have other employment, may diminish the investment a faculty member makes.

Multi-Year Contracts

Most nontenure track full-time faculty have annual contracts. Multi-year contracts for some of these faculty may be beneficial. Nontenure track full-time faculty often stay at an institution for a considerable length of time, and a multi-year contract would make this longer-term relationship more explicit and would recognize the contributions of the faculty member. Multi-year contracts would represent more of a commitment by and to the institution and would enable both the faculty member and the academic unit to plan for a span of years. Such a strategy is particularly appropriate where long-term (continuing) academic needs are addressed through such hiring. For clinical or other long-term faculty, it may be appropriate to implement "continuing" appointments.

Evaluation

Nontenure track faculty are rarely evaluated with the thoroughness accorded tenure-track and tenured faculty. This reinforces concerns about quality when nontenure track faculty are employed. These concerns include quality of performance and availability to students. In contrast, thorough evaluations can bolster faculty members' confidence that what they do matters to the institution.

Benefits and Privileges

Nontenure track faculty typically are eligible for such benefits as health insurance but not for sabbaticals. They may or may not have representation on faculty senates, and they may or may not be allowed to vote

in department meetings or serve on committees. Institutions should consider their policies regarding these matters.

Part-Time Nontenure Track Faculty

Administrators, department chairs, and full-time faculty should be encouraged to view part-time and adjunct faculty as potential contributors to institutional excellence. Adjunct faculty often teach part time because they wish to do so; National Education Association (NEA) data show that approximately one-half of those with this status prefer their part-time assignments. Such faculty bring expertise that would be difficult or economically improvident to duplicate through tenure-track appointments; they also provide flexibility in the scheduling of class sections. Efforts, therefore, should be made to ensure that these faculty contribute to program coherence and involvement with students and student learning.

At present, institutional practices fail to reflect the value of part-time faculty appointments. Ten professional associations cosponsored a "Conference on the Growing Use of Part-Time and Adjunct Faculty," held September 26 through 28, 1997 in Washington, DC. Conference objectives included enunciation of a set of common understandings, development of guidelines for good practices in the employment of part-time and adjunct faculty, and compilation of an action agenda to implement identified good practices in the various constituencies. Institutions should consider these guidelines in defining their part-time faculty policies.

Appointment

Criteria and procedures for appointment of part-time faculty should reflect institutional goals for student learning and for faculty excellence. Many community colleges have uniform policies and procedures for the appointment of part-time faculty, but such policies are less common at four-year institutions. Appointment notification should be timely and should clearly delineate expectations and assignments.

Multi-Year Contracts

A "continuing expectation of employment" is often high on the list of part-time faculty members' desirable work conditions. As with full-time nontenure track faculty, institutions can reap the benefits of longer-term planning and greater faculty commitment when they offer multi-year contracts.

Evaluation

Evaluation of part-time faculty is an important component of their employment. Those institutions interested in high-quality instruction should require standardized student evaluation forms of all faculty on a regular basis and classroom visitation by evaluators. Such evaluations should be considered in re-employment decisions.

Compensation

Compensation for part-time faculty is generally substandard and far below equivalent levels for full-time faculty. This has debilitating effects both on the individuals and on the quality of education offered by the institution. Compensation for part-time faculty should be equitable within the institution and should account for responsibilities additional to meeting classes.

Benefits and Privileges

Benefits for part-time and adjunct faculty often are nonexistent. In particular, the lack of medical insurance becomes problematic for many such faculty. Institutions should identify group insurance programs with affordable rates that could be made available to part-time faculty. Such programs may be offered on a subsidized basis or at the expense of the individual faculty member.

Orientation to the institution, mentoring, and professional support, as well as professional development opportunities, help integrate part-time and adjunct faculty into the institutional community. Handbooks can provide basic institutional information, and "support services," such as office space, access to telephones, clerical services, duplicating services, and computers, are also important.

Policy Recommendations

Nontenure Track Faculty

6. Institutions of higher education should have clear, written policy statements and procedures regarding the employment of nontenure track faculty; such policies should detail recruitment, selection, and appointment processes, including minimum academic qualifications.

7. Reappointment of nontenure track faculty should be based upon evaluation governed by established procedures.

8. Part-time faculty should be compensated equitably relative to the institution's full-time faculty. The concept of equity includes consideration of market and disciplinary differences as well as salary structure across the institution. *(Regarding part-time faculty, see also recommendations 6, 9, 13, 26, 27, 38, 44 and 46.)*

9. Institutions should provide benefits, support services and opportunities for career advancement and collegial participation for nontenure track faculty whenever feasible *(Regarding part time faculty, see also recommendations 6, 8, 13, 26, 27, 38, 44 and 46.)*

Flexibility in Faculty Tasks

Institutional policy should allow faculty effort to be distributed in such a way that faculty talents meet emerging needs. Over time, individual faculty may choose to focus more on teaching, scholarship, or service. Institutional policy should support such shifts. It also should encourage faculty members to take on flexible assignments such as increased student contact, teaching on nontraditional schedules or sites, asynchronous course delivery, or extensive involvement with business, industry, or government or with other educational partnerships.

Evaluation systems should be sufficiently flexible to recognize variation in the distribution of effort and assignment among faculty members.

Policy Recommendation

10. Institutions should develop flexible arrangements in determining distribution of faculty effort. Such arrangements would accommodate both changing institutional needs and individual faculty members' changing professional interests.

Faculty "Mix"

Some states now require reports on faculty "mix," but the issue is better addressed by individual institutions. Those institutions that evaluate their faculty mix in a systematic manner can advance their respective missions and improve their services to students.

Terminology

When considering the proper "mix" of faculty positions, institutions need to clarify whether they are concerned primarily with appointments, individuals, positions, classes, or students affected by the mix. All of these are referred to in the literature, making it difficult to compare data.

The report of the Conference on the Growing Use of Part-Time and Adjunct Faculty mentions that "the proportion of part-time and adjunct faculty in relation to all faculty appointments has increased substantially, from 22 percent in 1970 to more than 40 percent in 1993." Charlotte V. Kuh of the National Research Council notes that as of 1997, the number of probationary (tenure-track) appointments has declined by 9 percent. The NEA Higher Education Research Center published a report on "Part-Time Employment in Academe" which shows that 542,155 faculty are employed full time and 565,942 are employed part time. AAUP reports that 52 percent of all faculty are employed part time. Some states report by the number of sections taught by part-time faculty; others report the number of students taught by part-time faculty; some states even report the number of credit hours taught by part-time faculty. Comparisons would be more useful if terminology were clarified.

Considerations

Higher education institutions must make the best use of available financial resources, and current cost factors contribute to an increasing need for more part-time faculty. Dollars saved on faculty salaries and benefits subsidize new program development, curricular expansion, and increased compensation. However, fiscal considerations should include transactional costs such as orientation, supervision, and evaluation of part-time faculty. Fiscal issues clearly

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influence planning, but institutional mission and educational benefits should be of primary importance when positions and categories of employment are determined.

Institutions should guard against reducing the number of full-time tenured or tenure-eligible positions to the point at which faculty productivity is compromised. In addition to classroom instruction, research and publication, community service, professional growth, and student advisement, faculty are responsible for serving on search committees, developing program innovations, curriculum renewal, articulation with other institutions, decisions on reappointment, promotions, and tenure, mentoring new hires, supervising temporary faculty members, etc. Perhaps institutions should reevaluate whether many of these tasks should be reserved for full-time tenured or tenure-eligible faculty. It is worth noting that program continuity and updating require a degree of continuity of faculty.

Accrediting agencies and state legislatures have erected obstacles to creating faculty "mix." Wherever possible, such obstacles should be eliminated to ensure greater institutional flexibility.

Planning Considerations

Institutional coordination of faculty mix is important. Leaving full discretion to departmental/divisional chairs can lead to discrimination even when decisions do not appear discriminatory. Institutional oversight is critical because discrimination may also be an unintended result of patterns of decisions.

Cohort studies of each year's hiring by category should be developed and used to ensure that institutional effectiveness is well served and that no discriminatory impacts are created. Such studies should include the number of new hires by category; the number leaving voluntarily prior to tenure or other review; the number of denials of tenure; the number of contracts not renewed; and how women and minorities fare in the hiring process. Data may be disseminated to governing boards, the administration, and faculty members. Study results can be instructive as institutions plan hiring, faculty evaluation, and institutional orientation efforts.

Policy Recommendations

11. Institutions should determine the appropriate "mix" of faculty positions and categories of employment based on mission and educational benefits as well as financial resources. The mix could vary across units within a single institution.

12. Accrediting agencies should reexamine the validity/necessity of constraints on institutions regarding faculty "mix."

Recruitment

Faculty Recruitment

A planned approach to faculty recruitment focused on institutional mission and strategic goals is a signal to constituents–internal as well as external–that mission and goals are central to hiring decisions and that recruitment is one of the institution's highest priorities.

Formal Recruitment Plan

A formal institutional recruitment plan can ensure that institutional mission and strategic goals are central in hiring decisions and can provide a context for institutional accountability in allocating positions and other resources. In addition, it can assist the institution in meeting the needs of student populations, allow for a more purposeful approach to resource allocation and reallocation, and signal a commitment to quality, productivity, and value.

The Search and the Search Committee

Conducting an effective search is not easy. Orientation on how to conduct the process would significantly improve most searches and promote uniformity of process. Institutions should develop orientation programs to assist search committee members in a variety of personnel activities, including crafting a job description, interviewing techniques, resume reading, and evaluation of credentials. The Human Resource office can provide ongoing support in these tasks.

One of the benefits of a search committee is legitimization of appointments. A good committee serves as a connection between the department and the institution. Search committees should be specially formed groups acting on behalf of both the department and the institution.

Individuals who serve on search committees should be current in their fields, knowledgeable about the institutional mission and departmental expectations, committed to equal opportunity, and aware that the recruitment process exists for the benefit of both the candidate and the institution.

Diversity

In order for diversity to become a reality within an institution and not merely an abstract goal, it must become part of the fabric of the institution. A growing body of evidence suggests that diversity within education institutions, both in the members of those institutions and their curricula, increases opportunities for learning and the future success of students. Research indicates that diversity initiatives on campuses positively affect both minority and majority students' attitudes toward one another and the institution. Attention to issues of diversity in the curriculum and in the classroom positively influences students' attitudes regarding race, ethnicity, gender, class, physical challenges, and sexual orientation.

Diversity contributes to the institution as a whole as well as to the individual student. Recently, the American Council on Education joined with more than fifty other organizations and a host of universities and colleges in endorsing a statement which recognizes the value of diversity. The statement emphasizes four contributions of diversity to the education community: (1) the enrichment of the educational experience; (2) the promotion of personal growth and health for society; (3) the strengthening of communities and the workplace; and (4) the enhancement of America's economic competitiveness.

Virtually all public institutions involve faculty in personnel recommendations. For that reason, faculty must be reminded of the need to search aggressively for qualified minority and women candidates.

As long as institutions continue to focus only on the diversity of traditional faculty pools, faculty diversity nationally will remain a zero-sum game. This issue must be addressed on a national level.

Faculty Orientation

New faculty often need support in all three areas of the traditional triad of teaching, scholarship, and service. Faculty increasingly are expected to meet the needs of students with widely varied academic and social backgrounds. Given the increasing emphasis on student learning and the reemphasis of teaching as a primary responsibility, new faculty must be assisted in their efforts.

Orientation programs for newly hired faculty should incorporate the scholarship of teaching and learning, including differing learning styles and needs. The programs also should be a bridge to ongoing profes-

sional development. They should include the use of various media and methodologies to communicate subject matter, thus improving classroom effectiveness. Different methods of assessing learning and validating skills should be made available. Support for new faculty also may involve mentoring, team teaching, or paired courses.

Orientation and support for new faculty improves their ability to meet student needs; increases their morale and commitment to the institution; provides them with knowledge of the teaching methods they will be encouraged to adopt; signals the institution's expectation that faculty will approach the challenges of teaching with the same dedication they bring to their scholarship; and improves the institution's readiness to provide public service.

Policy Recommendations

13. Formal faculty recruitment plans, both for full time and for part-time positions, should be developed at appropriate levels (e.g., institutions or academic units). *(Regarding part-time faculty, see also recommendations 6, 8, 9, 26, 27, 38, 44 and 46.)*

14. Institutions should improve and enhance the professionalism of their search processes.

15. Institutions should develop, implement, and monitor hiring procedures designed to enhance faculty diversity.

16. Orientation and development of new faculty should prepare them to better fulfill the roles of teaching, scholarship, and service. This should be a major institutional commitment supported by institutional financing.

Separations

Retirement

Early planning for retirement increases an individual's acceptance of, and interest in, a new stage in life. Extensive retirement planning programs are available from AARP, from state retirement systems, and from various consultant organizations. They can also be developed internally.

A retirement handbook detailing timelines and benefits should be available to all employees. Institutions should ensure that such handbooks are not viewed as contractual by including disclaimers or references to existing laws.

Retirement systems, state legislatures, and individual institutions should develop retirement options, including a phase-in to retirement. Institutions considering the implementation of retirement incentives would do well to review activity over the past ten years or so to determine whether incentives have indeed benefited the institution.

Layoff/Retrenchment

Many institutions are restricted in the options available to them because layoff or retrenchment of tenured faculty has been limited almost without exception to instances where financial exigency has been demonstrated. Changing student interest, budget pressures, market forces, and changing technology continually challenge institutions to remain competitive. Institutions should be able to consider several reasons for layoff, including redirecting institutional mission, strengthening course offerings, loss of grant revenue, responding to state budget cuts, and streamlining the institution. Colleges and universities are dynamic and may experience declines in some areas even as other parts of the organization are growing.

In instances where layoff of tenured faculty is unavoidable, institutions may discover policies that do not allow layoff in departments or specialties with low student interest or declining connection to mission but which mandate layoff based on seniority across a department or the institution as a whole. Layoff/retrenchment policies should provide institutions with flexibility to preserve strong programs by taking into account measures of performance as well as seniority.

Immediately after announcing that a layoff is planned, institutions should assist affected faculty in seeking positions for which they are qualified, either on campus or with other employers. Institutions should engage in retraining, reassignment, and/or outplacement efforts to minimize the impact of layoff decisions.

Separation for Cause

Sound human resource practices and judicial determinations establish standards for institutions regarding both causes and process for termination of faculty. A policy on progressive discipline up to and including separation for cause provides the framework upon which institutional procedures should be developed. This policy should include a statement on professional ethics and rules of conduct for faculty. The policy should assure due process and specify the procedures, rights, and obligations of both the institution and the faculty member, including the protection of academic freedom and tenure.

These policies and procedures should be widely distributed and readily accessible. Violation of institutional policies or continued poor performance may subject a faculty member to corrective action ranging from written notice of warning to dismissal.

Policy Recommendations

17. Annual retirement planning programs should be integrated into professional development.

18. Policies should permit layoff and retrenchment in response to mission or program alterations.

19. Policies should permit institutions to consider measures of performance as well as seniority in determining which faculty will be affected by layoff/retrenchment.

20. When an institution determines that layoff/retrenchment is necessary, it should assist affected faculty members in identifying alternative employment possibilities.

21. Institutions should have policies and procedures on separation for cause that respect the rights of all parties and provide for timely disposition.

Faculty Development

Introduction

Investing in the ongoing professional development of employees is critical for the productivity of any progressive, future-oriented enterprise; it also can contribute to increased worker satisfaction. Higher education is no exception. This report not only assesses American higher education's current faculty development practices, but also presents 15 recommendations for improving those practices. the recommendations make up a proactive response to the new paradigm in American higher education. That paradigm is the result of several factors, including the changing and more inclusive nature of the student body; the national commitment to lifelong learning; and the rising expectations of clients (students and parents), various governing bodies (boards, legislators, etc.), and the public.

Higher education has failed to effectively articulate the case for systematic, progressive faculty development. Within the academic community, the component parts of such a program too often are taken for granted. Outside the academic community, the public attacks higher education because the component parts are justified without reference to the whole. To the uninitiated, the justifications often seem weak and/or incomprehensible. It is therefore incumbent upon the higher education community to provide logical, well-reasoned, and simply stated rationales for faculty development. Toward that end, this report identifies and addresses the most commonly held public perceptions of faculty development.

This document discusses the following aspects of faculty development: tenure and promotion, faculty rewards and incentives, full-time and part-time faculty, sabbatical programs, and instructional technology as related to current policies. It also discusses the impact of these policies on outcomes valued by legislatures and state boards, on the public's trust and confidence in higher education, and on institutions' ability to respond flexibly to new challenges.

Although the need for faculty development has become increasingly clear, appropriate reward structures that link incentives to expanding expectations are not yet in place. The development and implementation of clear reward structures to encourage continuous improvement and achievement of the goals of promotion and tenure are key aspects of this report.

Throughout their careers, faculty members are responsible for pursuing professional development plans that integrate short- and long-term career goals within the missions of their institutions. Professional development plans strengthen public trust in higher education by clarifying the professional expectations placed on faculty, reinforcing the institutional mission and priorities, and identifying resources needed for enhancement. They also foster interaction between junior and senior faculty and promote constructive feedback, thereby further facilitating individual and institutional development.

The 15 recommendations outlined in this report are for higher education in general. The recommendations embrace new approaches to teaching and learning, partnerships within and outside the academic community, and the potential impact of new instructional technologies. They are designed to be of value to every institution. However, institutional administrators and faculty should exercise appropriate caution in attempting to apply any or all of the recommendations to their specific situation. In every case, the value of the recommendations at the individual institutional level will be enhanced by discussion and customization to fit the specific needs and circumstances of the campus involved.

The Case for Faculty Development

Faculty professional development in teaching, research/scholarly activity and service/outreach, an activity common to all higher education institutions, is utilized to improve both the professional capabilities of faculty members and the quality of the institution. Professional development includes a diverse and vast array of support programs. These include start up grants and load adjustments for new faculty; travel support for professional engagements; orientation programs; mentoring programs; instructional development assistance (individual or workshop); assistance in identifying funding sources and support for the writing of grants; workshops in the integration of technology into instruction and scholarship; and teaching improvement centers.

Higher education faculty are not regularly trained in teaching, learning, advising, or the overall teaching and learning enterprise. New priority must be given to strengthening training programs for the next generation of teachers and to developing programs that will orient and train new faculty in the art and science of teaching and learning.

Institutional approaches to faculty development differ for full-time and part-time faculty. One underlying reason for the difference is that though many full-time faculty members are tenured or tenure track, many part-time faculty are not. In addition, institutions have a greater responsibility for those faculty whom they employ over a longer period of time.

Development opportunities for full-time faculty have expanded in recent years. Professional development opportunities for part-time faculty are being improved as institutions learn how to better serve the needs of this group.

Professional development activities in the area of teaching are offered at almost all higher education institutions but are geared generally toward full-time rather than part-time faculty. Activities are designed to meet the needs of faculty throughout their careers, but the majority seem to focus on serving new faculty. The type, variety, and frequency of professional development activities vary greatly across institutions. Institutional type appears to be an important variable. For example, community colleges employ sizable numbers of part-time faculty and, therefore, offer more professional development for part-timers than other types of institutions. Other important variables are institutional commitment and financial resources.

Professional development programs in teaching may occur in workshop sessions, day-long seminars, or term-long courses. Mentoring programs are another type of professional development. Formative evaluation and assessment of teaching practices is yet another common category of professional development. This practice includes peer review, supervisor review, student review, and feedback. Instructional assessments may be either optional or mandatory, depending on the institution and department.

While professional development in teaching is the most frequent form of development provided by institutions, many specialized needs have not yet been addressed. For example, very few programs have been designed to assist part-time and other faculty who are experiencing particular difficulties in their teaching performance.

Professional development in the areas of research, scholarship, and creative activities varies tremendously according to institutional type and mission. Research universities offer programs on writing grant proposals. Comprehensive institutions generally assist with the preparation of grant proposals, but also offer workshops on how to get published, improve writing skills, and connect research with teaching. Two-year institutions, with their focus on teaching and learning, often assist faculty with research connected to instruction. Much of the professional development in research, scholarship, and creative activities is provided on an individual or departmental basis.

Service/outreach is generally categorized as specific to the discipline/profession, institution, and community (local, state, national, international). Individual faculty members and academic departments–not institutions–typically provide opportunities for discipline/profession service development. Most institutions also do not provide professional development for institutional and community service. However, public pressure is beginning to mandate that institutions assume a greater role in supporting, encouraging, and rewarding community service by its faculty members.

Research has shown that faculty professional development programs are successful (Chase, et al., 1996; Sorcinelli & Austin, 1992). Increased institutional flexibility appears to be another valued outcome, as faculty members are better prepared to meet the changing demands of higher education. Because most professional development activities are designed for full-time tenure-track faculty, an emergent need is for such activities for the rapidly increasing numbers of part-time and nontenured faculty.

Despite ongoing professional development for faculty, a pervasive public perception is that teaching and learning practices are not valued in higher education. In fact, much of the public is unaware of current professional development activities.

Public Perception—*Many faculty do not provide high-quality instruction, nor do they participate in professional development activities.*

Ironically, this perception comes at a time when the academy is placing increased emphasis on student learning and, therefore, improved teaching. In addition, professional development opportunities are increasing, with many institutions requiring ongoing participation by their faculties. Much remains to be done, but American higher education has recognized the need to increase student learning through improved faculty instruction.

Public Perception—*Research conducted by faculty is meaningless and expensive. Conducting research and remaining informed about current trends are not relevant to classroom instruction.*

This perception betrays the lack of communication regarding the nature of teaching and learning in higher education and the vital linkage between research and high-quality teaching at the undergraduate level. The perception also points to the academy's failure to demonstrate the role of research in advancing the economic and social lives of the nation's citizens.

Public Perception—*Faculty are failing to provide assistance to their communities.*

While the academy has a long tradition of supporting its own communities, many community members are unaware of such efforts. In fact, higher education has neglected its mission to actively provide education and training for development in this area.

Policy Recommendations

22. Institutions should constantly improve and update faculty development opportunities, taking into consideration the changing needs of the institution, the changing nature of both the student body and the faculty, and the changing nature of knowledge. They should devote resources sufficient to support appropriate development for faculty at all stages of their careers.

23. Benefits of faculty development and valued outcomes should be aggressively communicated. The institution's mission and goals should be emphasized in these communications.

24. Institutions should commit financial resources to educate and train faculty in service/outreach.

Faculty Reward Structures

Tenure and Promotion Policies

The public perception is that tenure insulates faculty from reasonable expectations of performance and from personal and collective responsibilities. In 1982, the National Commission on Higher Education Issues warned that tenure was viewed in many circles as a system designed to protect faculty from evaluation and assessment. One result has been the advent of numerous externally driven policies for post-tenure review (Chait & Ford, 1982; Gebert, 1996; Licata & Morreale, 1997).

In reality, the tenure and promotion system in use at many American colleges and universities plays a vital role in faculty development. At its best, the tenure process provides a rigorous review, related to institutional mission, of individual faculty members within an extensive (often six-year) probationary period. This period is far more demanding than in most other professions. However, it is under attack both from without and (perhaps surprisingly) from within. A 1996 survey found that 35 percent of all faculty believe tenure is outmoded (Tower, 1997).

It is worth noting that tenure does not apply to every faculty member. Despite a significant fear of "tenuring-in" as the large numbers of faculty members hired in the 1970s and 1980s become senior faculty, relatively recent data suggest that overall, about half of all faculty are tenured or are in tenure-track positions (NEA, 1995). Among sectors of higher education, however, there are significant differences in the percentages of faculty members who are tenured. At public research universities, for example, more than 70 percent of faculty are tenured; at community colleges, only 31 percent of faculty are tenured. Most "unprotected" faculty are employed part-time, but 8 percent of full-time faculty are employed by institutions that do not offer tenure at all.

Current trends indicate movement away from tenure rather than toward it. Recently hired full-time faculty are less likely to be on the tenure track than those hired ten years ago (NEA, 1995). The declining emphasis on tenure seems in part from a dramatic change in the employment pool of higher education. In 1970, only 22 percent of the professoriate was part time; by 1995, this percentage had increased to 41 percent (Schneider, 1998)—approximately 566,000 faculty members (NEA, 1997). At times, the decision to hire more part-time faculty has been economically driven. Tenure and promotion are perceived by faculty as a significant reward, so the elimination thereof strikes a substantial blow at the incentive for faculty development. This is often the case for part-time and nontenure track faculty.

Criteria for tenure and promotion differ by educational category (research institution, community college, etc.) because they relate to the institutional mission (Boyer, 1990). Kreppel (1998) recently reviewed tenure policies at major (NASULGC member) institutions. Among the most important findings to contradict popular opinion that tenure policies always are defined in terms of the teaching/research/service trilogy was that none of the institutions defined research as the preeminent criterion for tenure (Kreppel, 1998). This represents a significant increase in the importance of teaching: twenty years ago, research was the predominant (and frequently the exclusive) factor in tenure decisions. Fully 81 percent of faculty respondents to a national survey at research universities believed that teaching "counts more" now (1994) for purposes of faculty advancement, than it did five years earlier (Glassick, Huber & Maeroff, 1997).

Nevertheless, the trend toward increasing the value of teaching and service in tenure decisions has not progressed far enough. In a recent survey of faculty, deans, and senior administrators at a wide variety of institutions, every group felt that high-quality teaching was undervalued and that research was overvalued in tenure and/or promotion decisions. Administrators and faculty actually were in agreement, but each group thought it was the other group that overvalued research.

Criteria and standards for promotion parallel those for tenure and are equally rigorous. They also differ by institutional category. At research institutions where research, teaching, and service are held equally important, the most common requirement for promotion involves demonstrated excellence in one or two of these areas with at least satisfactory performance in the other(s) (Mississippi State University, 1997). Again, excellence in teaching has become a *sine qua non* for promotion. At nonresearch institutions, the preeminence of teaching is well established, though some data suggest that longevity is an equally important criterion.

So why are our current policies criticized by the public? Most parents, most employers, and most communities expect higher education to produce graduates who communicate effectively, solve problems, and adapt to change. Conceptually, our productivity-based system of promotion and tenure has a beneficial impact on these outcomes. However, much of the public still believes that research is overemphasized with the result that the quality of instruction is diminished. These same individuals believe that instruction leads to the desired outcomes and that research is merely esoteric, separable from instruction, and of no inherent value (Chronicle, 1998). Clearly, the marked increase in the role of teaching in promotion decisions has not been effectively communicated. Higher education must make these changes broadly known.

On the other hand, higher education's increasing reliance on part-time faculty adversely affect these outcomes. Part-time faculty typically are less available to interact with students and are less engaged with their institutions. The American model of promotion and professorial ranks (assistant professor, associate professor, and professor) has benefited all aspects of U.S. higher education. This is in marked contrast to the traditional Anglo-German model in which there was one professor in the department, and promotion meant either waiting for that professor to retire (or die) or moving to another institution. The consequence of this model was that institutions could not use the promotion system to reward (and thereby retain) their bright young teacher scholars, which led to diminished institutional loyalty. Worse still, the combination of tenure without any hope of promotion made indolence even more probable. It is no accident that most universities throughout the world have moved away from the Anglo-German model and have adopted systems more similar to the American model. Yet our own institutions' increased use of part-time faculty represents a partial abandonment of the very model that was invented and proven successful here.

Many industrial and commercial leaders believe that the tenure and promotion system is outmoded. In the 1980s, in response to intense competition from foreign companies, American industry undertook a comprehensive program of "right-sizing"; this resulted in a redefinition of the job security of managers and executives in corporate America. Many would argue that the nation's current economic expansion is a tangible result. Because it worked for corporate America, many believe higher education should also undertake such a program. However, unlike Detroit in 1985, American higher education (particularly at the graduate level) remains the envy of the world; foreign students evidently prefer the American product to their own domestic product. Nevertheless, higher education must not become complacent; external challenges that may prove analogous to those that confronted corporate America are clearly on the horizon (consider, for example, Britain's Open University).

Higher education's current policies (with its enhanced emphasis on teaching) should prove much more attractive to the public than our past practices. Regrettably, our continuing failure to communicate major changes within the tenure system dooms us to be viewed as resisting change.

Policy Recommendations

25. Institutions of all kinds should increase the value of high-quality teaching in tenure and promotion decisions.

26. Because of its potential to adversely affect students and institutions, the extensive use of part-time faculty should be carefully re-examined as part of a larger re-examination of appropriate faculty mix. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 27, 38, 44 and 46.)*

27. The American model of promotion through the faculty ranks has had a beneficial impact on the professional development of faculty in all categories of higher education. It is imperative that this model be retained and that both part-time and nontenure track faculty have opportunities for similar advancement and reward. *(Regarding part-time faculty see also recommendations 6, 8, 9, 13, 26, 38, 44 and 46.)*

28. The higher education community should clearly communicate to all constituencies the importance of teaching in promotion and tenure decisions at institutions of all kinds.

Faculty Awards and Incentives

Public Perception—*Institutions do not provide awards and incentives for the behaviors most valued by the public.*

Paralleling the world of business, university leaders know that professional development of employees and the offering of awards/incentives to increase the level of professional satisfaction can contribute to higher productivity.

Indeed, awarding faculty for excellence in research, service, and especially teaching appears to have had a resurgence in popularity. Award systems have been designed to achieve two goals: first, to award those members of academies who strive for continued excellence in teaching productivity and learning; and second, to elevate the level of respect and esteem held for teaching, research, and public/professional service. While awards for conducting outstanding research and performing outstanding service exist, awards appear to be offered primarily for exemplary and innovative teaching.

Svinicki and Menges have gathered an impressive cadre of authors to explore the topic of awarding of excellence in teaching. (Van Note Chism, Fraser, and Arnold, 1996) report that academies outline several goals as awards are designed. The first and most important goal is to foster teaching excellence. Related goals include:

- to advocate the importance of teaching;
- to create an appropriate reward structure for teaching;
- to promote a sense of community among teachers;
- to serve as role models;
- to foster research on college teaching and learning; and
- to advise the institution on policies and practices (Svinicki, 1996).

Academies tend to agree on the goals, but the manner in which the awards are developed, evaluated, and administered varies greatly.

El-Khawas cites that "Seven in ten institutions in 1993 reported giving annual awards to recognize outstanding teaching; this was a sizable increase from 1987 when the proportion was about half. Institutions reported that they recognized teaching through ceremonies (69 percent), special funds (40 percent), and release time (26 percent). An increase of salary in recognition of outstanding teaching was reported by 45 percent, an unfortunate decline of 6 percent from 1987" (Menges, 1996).

Research universities, four-year comprehensive universities, liberal arts colleges, and two-year colleges have faculty award programs which are similar, though the number of programs, awardees, and resources vary some by institutional category. For example, scholarly endeavor awards are granted to more faculty at research and comprehensive universities, while teaching awards are granted to more faculty at liberal arts and two-year institutions. Even within categories of higher education institutions, the resources available to award excellence in scholarship, teaching, and service vary. Also, faculty award programs may be administered at one or more institutional levels; viz., institutional, academic affairs, college, and department (Svinicki, 1996; Sorcinelli and Davis, 1996).

Faculty awards tend to be granted individually, based on competition and collegial review. One negative aspect of collegial review and limited awards is that some applicants become frustrated over the selection process. Awardees usually must meet stated criteria in the award area, be it scholarship, teaching, or service. Lunde and Barret (1996) suggest that faculty awards can be supplemented with award programs that are unit (departmentally) based, with unit accountability and rewards.

Faculty awards for scholarship, teaching, and professional/institutional service are diverse. All award recipients should be provided due recognition and publicity. One or more of the following may also be provided:

- monetary award (base salary increase or bonus)

- release time for a specified period with contractual obligations
- seed money to be used, at the discretion of the awardee, for professional development opportunities (e.g., professional meetings, technology hardware/software, full or mini-sabbatical)
- institutional, divisional, or departmental award designation.

Scholarship awards tend to be categorized into senior-level faculty achievements and junior-level faculty promise. Often, discretionary funds for such awards are provided or matched by private donors. Professional and institutional service awards, with the latter more prevalent than the former, tend to be categorized either by external individual accomplishments (similar to senior-level faculty scholarship awards) or rather diverse excellence in institutional service.

Given that teaching excellence is increasingly valued by all relevant higher education constituencies, this faculty award category will continued to expand. Jenrette and Hays (1995) postulate that teaching has always been paramount to the mission of two-year institutions, but the mission statements of research, comprehensive, and liberal arts institutions also emphasize the quality of instruction. In all institutional categories, teaching awards are more prevalent than scholarship and service awards (Svinicki, 1996; Menges, 1996). Students often are involved (if in a secondary way) in the assignments of scholarship and service awards; undergraduate students, in particular, are much more involved in choosing the recipients of teaching awards. In fact, many student government associations offer faculty teaching awards in addition to those bestowed by the administration.

Teaching awards also pertain to advising and mentoring accomplishments. At many institutions, advising awards are separated from teaching awards.

Zahorski recommends caution in using awards to recognize excellence in teaching. Awards can be divisive and counterproductive if not designed and administered with continuous improvement and professional development clearly in mind.

Lunde and Barret (1996) postulate that an alternative to individual awards might be a decentralized, departmental award/reward system where departments determine the values which most closely reflect the disciplines within their purview. There is no single answer to how teaching can be elevated and honored in a given department on a given university campus. The catalyst, expertise, and energy for putting a recognition system in place may exist outside a department. However, if a department has a genuine interest in rewarding outstanding teaching, it not only will invite the help of external resources but also will work within its membership and discipline to build, promote, and maintain a reward system of its own (Svinicki, 1996, p. 97).

Faculty incentives are closely related to faculty rewards. Faculty incentives pertain to projected performance and/or advantages, while faculty rewards recognize past performance. Faculty incentives (except for termination, tenure, promotion, and merit policies) have less to do with faculty contracts than institutional practice. Faculty incentives are subject to collegial administrative-faculty negotiations and/or administrative actions. Faculty incentive programs have been initiated at system, institution, college, and departmental levels.

Policy Recommendation

28. Higher education communities should carefully review awards and incentives to ensure that they are closely linked to institutional initiatives and that they reflect changing expectations.

Sabbaticals

For this report, we reviewed the sabbatical policies of 50 colleges and universities across the country. The institutions were of all sizes and types (four-year public research, four-year regional public, four-year private, and two-year community colleges). All institutions had policies regarding sabbatical leaves and they had many characteristics in common. Not all institutions offer sabbaticals, but those that do (including the 50 we reviewed) offer them to full-time faculty members at regular intervals–usually every seventh year.

Sabbaticals have been and are a key ingredients in the faculty development continuum. Sabbaticals provide time for faculty to conduct scholarly work, improve their teaching, develop curricula, and enhance their artistic performance and creative growth. Sabbaticals enable faculty to study new developments in their fields and to complete ambitious scholarly and artistic projects. The knowledge and reinvigoration gained from time away from ordinary responsibilities improves employees' performance upon their return. And more than once, sabbaticals have led to discoveries that ultimately benefited millions of people.

In nearly all cases, the approval process for sabbaticals requires that interested faculty members submit a detailed proposal. The proposal is reviewed, and, if approved by the department head and dean, it is forwarded to a peer-review committee on sabbaticals, and finally to the president and governing board. Typically, faculty members may request a full-year sabbatical at half salary or a semester sabbatical at full salary. Institutions require that the sabbatical leave contribute to the individual's professional development. Relatively few institutions suggest that the sabbatical proposal be linked to the institution's mission and mandate. Some institutions set limits on the number of sabbaticals awarded each year (for example, "not more than X percent of the equivalent full-time faculty"); other institutions follow historical practices and/or base limitations on the budget available. Of the institutions surveyed, all expect faculty members who have taken a sabbatical to return for a minimum of one year, and sometimes two years, following the sabbatical. If faculty members fail to meet this requirement, they may be required to repay the salary earned during the sabbatical leave.

Faculty improvement leaves have become increasingly popular at institutions of all types and have been found to be a highly effective form of faculty development. Unlike traditional sabbaticals, faculty improvement leaves vary greatly in length (two to eight weeks) and type (travel, research, focused study, etc.) and are offered at varying times throughout the year. Faculty improvement leaves appear to be better suited to today's academic environment because they are targeted, available to a greater number of faculty at all ranks, conform to the life-styles of faculty and their families, can be relatively better funded than sabbaticals, and provide greater institutional flexibility.

Public Perception—*Faculty members are automatically granted leaves at regular intervals, and the outcomes of these leaves are not closely monitored.*

Higher education needs to more effectively communicate the value of sabbaticals to students, institutions, and the public. The public believes that faculty members are granted leaves automatically at regular intervals, but in fact, many institutions cannot afford to offer sabbaticals. Many faculty members do not take sabbaticals without first obtaining grants so they can afford to conduct research away from their home institutions. Many institutions have addressed the issue of accountability for sabbatical outcomes, but more attention to this is needed. Some institutions require that faculty members on sabbatical submit progress reports. In addition, many institutions require faculty members to communicate the results of their sabbaticals, either through presentations, articles published in the local media, or through other means. the key is to strike a balance between accountability and the "freedom" that is a primary benefit of sabbaticals.

Private sector information on training and development confirms that colleges and universities should encourage more sabbatical-type activity. More and more businesses in the United States (14 percent to 24 percent according to Austin, offer their employees sabbatical-type leaves because such opportunities boost productivity, promote flexibility, and counter mediocrity and burnout. Such businesses as American Express, DuPont, and Xerox offer employees both short- and long-term sabbaticals because they boost overall productivity and boost morale. Sabbaticals provide a similar kind of renewal for faculty. Research on corporate sabbaticals may help institutions and the public measure the return-on-investment (ROI) so important to constituents.

Policy Recommendations

30. Institutions should develop and implement strategies to more effectively communicate to the public the benefits of sabbaticals to students, institutional mission, and the community.

31. Institutions need to continue to strengthen the sabbatical process. While many institutions are demanding greater accountability, all institutions should have policies that require a rigorous application process, means of monitoring progress, and appropriate dissemination of the results.

32. Institutions should consider allowing greater flexibility in the traditional sabbatical program to include faculty improvement leaves.

Instructional Technology Policies

Over the past two decades, technology has permeated professional institutions and, to a lesser extent, educational ones. Used as a teaching, learning, research, and communication tool, technology has the potential to transform and expand the higher education experience. We have yet to come to grips with the changes it has brought. Technology is costly and has a short "shelf life," but it also enables its users to do new things and to explore old concepts in new ways. To reap the benefits of technology, a comprehensive program of support is needed.

The introduction of instructional technology requires an expanded focus for the faculty professional development process. Traditionally, faculty development has focused on support for refining content knowledge and research skills in order to gain tenure or promotion and continue a research agenda. Now, faculty must continually learn new skills and devote time and effort to refining curricula to make full and appropriate use of technology's capabilities. Faculty must become learning, teaching, and technology specialists in addition to being expert in a given discipline.

Achieving this goal requires a fundamental change in the concept of professional development and in how faculty are supported during a career-long process of learning and skill enhancement. In short, technology has forced higher education to expand the faculty professional development paradigm to include time, support, and access to resources required to develop new skills, materials, tools, and strategies. New faculty professional development infrastructures must bring together specialists in content, teaching/learning/evaluation approaches, knowledge management strategies, and technical support so faculty can access the expertise they need to adopt new technologies and make them appropriate and integral components of curricula.

The change in faculty professional development fueled by increased access to technology is not one that higher education can choose to embrace or ignore, for it is driven by the expectations of internal and external clients and of faculty themselves. The populations served by higher education expect faculty and administrators to make use of technology enhancements that meet individual and collective needs. This expectation increasingly is reflected by changes in corporate grant programs. For example, corporations such as Hewlett Packard (1996) and Hitachi (1998) have encouraged universities to partner with them to find new ways to improve learning. The Hewlett Packard request for proposals called for higher education institutions to create partnerships to develop technology-enhanced collaborative learning environments that help students acquire problem-solving and interaction skills needed in the 21st century. Hitachi is seeking partners to design new instructional tools that will speed or otherwise enhance learning. These two examples point to the growing need for technology-enhanced education that promotes real-world, lifelong learning and problem-solving skills. Higher education must produce students who are skilled in technology use, able to work in teams, and able to navigate and manage interdisciplinary information. Unless faculty skills, instructional materials, tools, teaching and learning strategies, and attitudes toward faculty development support technology-driven change, this goal will be impossible to achieve.

In early 1998, the National Council for Accreditation of Teacher Education exerted direct pressure to place more emphasis on instructional uses of technology by revoking the accreditation of a major university. One reason cited for this drastic action was the university's failure to provide students with adequate technology skills. If institutions do not provide high-

quality technology tools in all disciplines, they will lose students to peer institutions that can, and/or they will suffer externally imposed sanctions.

Existing policies and attitudes toward technology use and faculty support are based on a number of assumptions related to the benefits technology brings to the teaching and learning process. These assumptions often are based on anecdotal rather than actual data. Following are public perceptions and suggestions for change that can lead to real and attainable expectations for faculty professional development and support for instructional technology use. These changes stress the use of technology to improve learning outcomes, including enhanced problem solving, critical analysis, and communication strategies.

Public Perception—*Technology leads to better learning.*

No reliable data supports this assumption. Russell (1996) reviewed 248 research reports, summaries, and papers describing the introduction of various instructional technologies ranging from film to computers and compared them to what were at the time "traditional teaching approaches." In all cases, studies showed that adding a technology enhancement without changing the underlying instructional techniques, procedures, materials, and activities had no measurable impact on learning. This should alert higher education to a flaw in its current approach to developing technology enhancements for teaching and learning: as mere add-ons to existing practices, technology enhancements will have no impact on learning.

New Direction—*Technology is a flexible tool that allows learning in ways that are not possible without it. It is NOT a $2,000 pencil.*

Research should focus on the value added by technology enhancements as measured by the use of teaching and learning techniques and procedures that are not possible in a traditional face-to-face environment. Such fundamental changes as increased access to information and information management tools, or even increased time on tasks, are desirable outcomes that can be measured.

Public Perception—*Technology will bring more cost effectiveness.*

Technology is an expensive instructional tool. Technology enhancements, related training, and curriculum design programs, as well as the purchase of electronic tools such as library resources, absorb any profit that might result from raising enrollment caps or expanding traditional courses to include students at a distance.

Those who believe technology will lead to reduced costs are likely to doubt those in higher education who say costs will not go down. Likewise, persons in higher education will doubt that cost cutters have a sincere interest in maintaining or improving the quality of higher education. Only as higher education demonstrates the effectiveness of enhanced student learning utilizing technology will the issues be enjoined in such a way that they can be resolved. With the exception of the "early adopter"/innovative minority, faculty are not necessarily eager to accept the risks inherent in change to a technology-enhanced system. Faculty may fear they will be penalized if they do not jump on the technology bandwagon. They may fear that the tools they are creating will chip away at their academic freedom–as well as their jobs. They may fear that they will have no support for curricular innovation unless they choose to embrace technology. (*The Chronicle of Higher Education*, 1998).

New Direction—*Technology is an expensive but vital tool that enables new teaching, learning, and communication experiences. The transformation process will be smoother if administrators take faculty perspectives into account and respond with comprehensive support and reward programs that encourage the appropriate use of technology as a means of achieving desired learning outcomes.*

Technology is an expensive addition to any curriculum. Yet, the addition of appropriate technologies increases performance, expands access to information, and provides the ability to engage in simulated or real experiences. Research is needed to determine the extent to which technology enhancements increase time on task, improve communication and collaboration strategies, expand mentoring opportunities, and enhance overall satisfaction with the learning environment. WebCT and other online instructional environments now offer tracking tools, even in chat rooms, that will allow researchers to shift emphasis to the learning processes.

Decisions to add and support technology now can be made on the basis of institutions' goals and missions. Questions to address when considering technology enhancements include: Is the institution committed to reaching a diverse audience and to supporting individual learning differences? Do the institution's teaching and learning goals embrace active learning approaches rather than information delivery and acquisition? How can faculty be recognized and rewarded for the time and effort they invest in curricular innovation?

Public Perception—*The existing culture of the academy can be easily transposed into the technological age.*

Solutions to problems associated with workload, incentives, course scheduling, credits, and copyrights/intellectual property rights have not been identified; thus, institutions pursue a traditional approach to education with technology supports. Faculty have not been allowed–much less encouraged–to take full advantage of the benefits of technology by transforming how they teach and how students learn. Many faculty in the humanities in particular have limited access to support and to state-of-the-art equipment because of funding formulas and traditional ideas regarding what constitutes excellent teaching in a particular discipline. Interaction between faculty experts and technology experts has often been limited to faculty following the direction of technology experts or even abdicating control of their courses by turning over the design of instructional tools. Faculty interdisciplinary partnerships, a key element in the successful development of flexible instructional tools and materials, are still discouraged because of budgetary difficulties associated with assigning credit for collaborative work. Finally, technology innovation has tended to be a costly experiment involving a few entrepreneurial faculty without the benefit of collaboration or institutional infrastructure support. Higher education's cultural value of publishing its successes has not yet extended to the instructional technology arena, so it has not yet invoked the collaborative and cooperative approaches that encourage faculty members to learn from each other.

New Direction—*Curriculum innovation is a complex professional development process that combines the development of new strategies, tools, and materials with discipline research.*

Changing a culture requires a multifaceted approach. For example, focus on curriculum change as a professional development activity will bring about the following:

- New definitions of workload and the role of curriculum innovation (individual as well as collaborative) in the promotion and tenure process must be outlined at the department, college, and university levels. Such guidelines will discourage the use of formulas that over-value time in front of students and will encourage the use of teaching portfolios and other techniques for documenting time, effort, and performance. In isolation, individual institutions will be unable to solve the problems associated with traditional definitions of classes, courses, and semesters. Higher education in general must address this problem so as to take advantage of technology as a tool that allows learning to occur at different paces. Disciplines may need to approach this issue from a proficiency and performance perspective.

- Campus-wide faculty professional development initiatives that help faculty introduce new methods, design attainable learning outcomes, and employ appropriate technologies for achieving stated goals are crucial elements of faculty support. To be successful, however, these activities must be collaborative in nature and encouraged and supported by administrators, technology experts, and peers. The notion that professional development implies "fixing bad faculty" must be replaced by a lifelong learning concept that is expected, recognized, and rewarded as part of the higher education career.

- Partnerships involving faculty, librarians, and publishing companies (including copying services) support efforts to access, distribute, and discover new knowledge. The steps currently required to distribute copyright-protected materials for educational purposes represent a barrier to the teaching and learning process. Resource partnerships that take on copyright clearance tasks will greatly enhance the ability of faculty to teach with the aid of technology.

- Formulas for release time, access to graduate assistants, or other support based on workloads associated with curriculum design and development

should be developed, and on-going implementation of technology enhancements should occur. Case studies are needed to accurately describe the increase in work that occurs when technology enhances or replaces a "face-to-face" course. Anecdotal evidence suggests that technology enhancements will at least double the workload of faculty members.

Public Perception—*Students will have unlimited access to education, resulting in improved learning opportunities.*

This is a tested assumption, but is rendered invalid in many cases because of limited access to technology and dated hardware/software. Depending upon the institution, upwards of 25 percent of the students may be computer illiterate. Dated home computers may not be capable of rapid access to the Internet. On-campus labs most often have limited workstations and or connectivity to centralized servers. Anecdotal evidence indicates that less than 30 percent of faculty actively integrate technology into their curricula. For those who are computer illiterate and require personal support, the lack of training programs discourages them from mastering the equipment. Benchmarking projects for instructional technology are only beginning. For example, the SHEEO project began to collect data on technology use in April 1998 and is not expected to produce results until 1999.

New Direction—*There is always a contingency plan so learning can continue when the technology isn't available.*

The technology is changing so quickly that it is unlikely that all students and faculty will ever enjoy easy access. A variety of solutions are possible. These include but are not limited to:

- Clear guidelines, goals, and team-oriented approaches for learning so students can continue to engage in learning and communication tasks even if the technology is unavailable.
- Combined lease/purchase/loan programs that enable students to have their own computers.
- Open-access labs equipped with the latest technology and a wide variety of tools.
- Easy-to-access campus networks that provide high-speed access for everyone.
- Department-, college-, and university-wide technology purchase and refresh programs to ensure that faculty have access to the technology they need. Such programs may involve 'hand-me-down' efforts to pass obsolete technology from scientists and engineers to faculty and students in disciplines that require less computing power.
- Recurring training, just-in-time learning programs, and tutorials (such as those that can be prepared with Lotus Screen Cam) for faculty and students. Such programs should begin during orientations for students and faculty and should continue throughout their careers. By taking advantage of peer tutors and student assistants, a wide population can be served on a recurring basis.

Public Perception—*Strong technology partnerships are vital to the success of instructional computing.*

Tapscott (1996) and other futurists believe that corporate and academic interests must merge in order for higher education to continue to grow in the 21st century. At present, corporate and academic cultures are so different that communication and collaboration are difficult. If collaboration is to be successful, ground rules that provide mutual benefit must be agreed upon.

A growing concern among some faculty and members of the public is that public/private partnerships, virtually inevitable to technology enhancement in higher education, are bringing with them a set of values that contradict those of the academy. Consider the worry of a generation ago that the university/government partnership in basic research would alter academic values. The partnership did in fact alter the structure of many universities, but by no means did it destroy their integrity. Instead, it led to research

achievements that are the envy of the world. The partnership continues to flourish..

New Direction—*New ground rules will grow out of discussions and collaborative planning.*

The traditional partnerships based on funding for universities to complete research or product development projects driven by corporate needs can expand to include partnerships that examine the lifelong learning needs of employees. Such partnerships with technology corporations would focus on the development of education-oriented tools that incorporate current understanding of how learning occurs. By allowing learning needs to drive the development of instructional tools, higher education would benefit from access to prototype tools that would meet its ever-changing instructional needs; corporations would enter new markets as solutions to specific learning problems. Such an approach is in direct contrast to current efforts to find instructional uses for tools originally developed for business purposes.

Public Perception—*The use and understanding of technology in higher education is driven by market demand.*

Higher education is confronted with enormous challenges brought about by increased demands from clients for anytime, anywhere access to lifelong learning opportunities that emphasize knowledge management, problem solving, critical thinking, and collaboration skills. New knowledge about how people learn has encouraged a shift away from the traditional lecture model to one that places students at the center of a more active learning process. "The teacher as primary source of knowledge" no longer suffices in a world where knowledge doubles every seven years and 10,000 scientific articles are published every day (Tapscott, 1996). Improved communication tools, including RealAudio and RealVideo presentations and forum-based collaborations, can provide direct contact with experts in almost any field.

New Direction—*The demands of the market and the goals of higher education meet in learning outcomes.*

The demands for distributed learning and access to experts in the field have altered the responsibilities of teachers and learners. Students (especially those at a distance) must accept responsibility for their own learning. They must control the skills and tools required to find, organize, and apply information. But they must also have the skills to use that information to discover new knowledge.

Teachers and experts in the field are using technology enhancements to develop more collaborative and interdisciplinary focuses to courses; knowledge is shared and students are provided with opportunities to explore a field. Remedial work can be done within courses as students with different backgrounds follow different paths to reach common learning goals. Professional development efforts can help faculty create new courses that take advantage of distributed learning options, support individual differences and apply appropriate technologies to shift the focus from information delivery to experiential learning. Corporate partnerships will help design the tools teachers need to make this a successful reality.

Policy Recommendations

Institutions should provide faculty with professional development opportunities that include four broad areas of support:

33. Education opportunities (technology use and teaching, learning, and evaluation issues and methods; curriculum design processes).

34. Access to people, materials, and equipment during the entire curriculum design, development, delivery, and evaluation process.

35. Funding for release time (including sabbaticals), technology purchases and upgrades, and materials.

36. Guidance and assistance in documenting and evaluating the impact of curriculum change and technology enhancements.

Institutions should systematically recognize and reward all aspects of curriculum innovation through changes to peer evaluation, promotion, and tenure processes. These changes imply a university, college,

and department documentation and evaluation process that values the time, effort, and outcomes of the technology enhancement process.

Institutions should recognize and support instructional research. By striving to raise it to the same plane as other more traditionally accepted research, legitimizing the role of pedagogy as part of the promotion and tenure process, institutions will be able to determine the instructional value of technology enhancements and engage in a never-ending cycle of implementation, research and improvement.

Goals for faculty professional development programs should include the acquisition of knowledge and skills in at least the following areas**(1)** teaching, learning, and evaluation theories and methods**(2)** curriculum design theories and techniques; **(3)**basic use of technology; and **(4)**trategies for design of new applications for existing technologies.

Faculty Review Policies

Faculty Performance Review and the Public Trust

Faculty review processes were placed in the public spotlight only within the past decade, as questions arose about the circumstances under which a tenured faculty member could be dismissed for poor performance. Colleges and universities, when pressed for details about how many tenured faculty they had ever dismissed for cause, found themselves awkwardly explaining that, as in Lake Wobegone, all tenured faculty were consistently judged to be "above average." In response, the public, acting through state legislators, began to call for evidence that post-tenure reviews were conducted and that consistent poor performance was dealt with in a consequential and timely fashion. The result was that many states passed legislation requiring the creation and implementation of post-tenure review polices at public colleges and universities.

Post-tenure review demonstrates higher education's commitment to high levels of performance even within the guarantees of tenure. It can be an effective strategy for increasing public trust in higher education.

Fairness is also at issue. With post-tenure review a matter of public policy, tenure itself becomes somewhat more palatable to those outside academia who, lacking such job protection themselves, may be vulnerable to downsizing or restructuring even after years of good performance. Finally, now that post-tenure review is effectively in place, the public has more expectations that higher education will be able to respond to change more quickly since it is not encumbered by poor-performing faculty.

Beyond post-tenure review, however, there is little public awareness of how quality in higher education is ensured. The absence of political pressure and public outcry could tempt us to ignore the fact that improved faculty evaluation systems offer a means of achieving substantive change without relying exclusively on program cuts and closures. In reality, learning to better manage our human resources will prove the best opportunity for widespread change.

Even this will not be sufficient if all new hiring opportunities are not immediately scrutinized at the highest institutional levels and new human capital defined, directed, and deployed with originality and attention to institutional mission. If the system is to retain its collegiality, everyone must participate in appropriate decision-making with courage and a primary commitment to high-quality education.

It is imperative that higher education consider these issues in a candid, forthright manner. Acceptance of our institutional responsibility to identify, retain, and develop the appropriate faculty will provide us with the flexibility to respond to the new mandates of higher learning in the coming century.

Overarching Themes

Numerous overarching themes underlie the policy recommendations that follow.

- Reviews should be efficient, professional, and consequential. Such reviews are an essential component of all forms of institutional accountability.
- All effective faculty performance reviews are contingent upon clear institutional mission statements, explicit job expectations, acknowledgment of the value of collective effort and achievement, and attention to student learning outcomes. All reviews must work to the benefit of the institution and the individual.
- All review systems must have clearly defined purposes and detailed implementation guidelines. The scope of possible outcomes should be clearly defined, and the associated consequences, both positive and negative, should be made known to all participants.
- All reviewers should be selected on the basis of their ability to evaluate specific performance areas.
- As more faculty employment arrangements are developed to respond to new forms of course delivery and to disappearing boundaries of time and space, appropriate forms of performance review must be implemented.
- All faculty reward systems should promote clear and high standards in all areas of faculty work; where possible, they should provide rewards for high performance.

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- Our institutions of higher learning have a collective responsibility to nurture an appreciation and respect for the benefits inherent in our increasingly diversified culture. Institutional diversity goals should be reflected in criteria and standards of faculty performance. Faculty evaluation can be utilized by an institution to strategically reinforce its goals and values.

- Self-evaluation, an important facet of faculty performance reviews, should reflect the cycles of professorial life and should lead to appropriately differentiated assignments over one's career.

- Academic freedom serves society by ensuring that knowledge can be pursued and that controversial ideas can be tested and discussed. Such protection must be assured in all faculty review processes.

- Institutions must have in place an effective and accessible appeal and grievance procedure to which all faculty review systems are subject. The procedure must be limited to alleged procedural violation(s) or discrimination, not professional judgments of academic merit by the evaluators.

- Development of and revisions to faculty performance review policies must involve institutional faculty.

- Accrediting agencies must actively support new institutional strategies for the deployment of intellectual capital.

Reports and Policy Recommendations

Efficiency of Reviews

The development and retention of high-quality faculty must be the central focus of performance reviews.

In creating performance evaluation processes, a direct link between the mission of the institution and the role of individual faculty members must be expressed and understood. This link is articulated by establishing goals and objectives on an individual basis for every faculty member. The individual's performance, goals, and expectations must complement the mission of the institution and the goals of the unit. The review process must be flexible enough to address the different contributions of individual faculty members.

Beyond delineating the process and guidelines, institutions must be cognizant of the "hidden costs" of evaluation–especially those associated with the time and effort candidates, peers, and administrators commit to preparing for and participating in the evaluation process.

Institutional criteria and expectations should be clearly presented to faculty members. All faculty should present a professional development plan that outlines how they will make original, substantive contributions to their disciplines and how such scholarly vitality can keep their teaching current and enhance the academic reputation of their department.

There also must be a direct, understandable correlation between faculty members' performance goals and the purpose, criteria, and consequences of evaluation. Annual reviews for merit pay increases, for example, usually focus on short-term goals whereas performance reviews for retention, tenure, and promotion are summative and focus on long-term accomplishments of scholarship and productivity.

When possible, evaluations addressing different purposes should be combined or substituted to minimize redundancy and promote efficiency. A single evaluation of a probationary faculty member should provide the basis for multiple decisions–for example, those regarding merit pay, service step increases, and retention status. Likewise, consideration for promotion to full professor should obviate the requirement for a post-tenure review in the same year. Creating separate processes to evaluate the various purposes of an individual faculty member's performance increases the danger of encumbering efficacy and communication.

The following guidelines serve as best practices in the development of a functioning performance evaluation policy:

- Faculty development along with the retention of high-quality faculty must be the central focus of performance reviews.
- Published criteria for any evaluation must be provided in advance to all participants.
- Annually, each full-time faculty member must establish short-range goals compatible with the mission of the institution and its strategic initiatives, as well as with the individual's long-range professional development plan. Part-time faculty should establish short-range goals annually. Faculty goals and professional development plans are subject to review and approval by the appropriate administrator.
- Evaluations serving different purposes, e.g., annual merit pay and retention status of a probationary faculty member, must be combined, and in some cases substituted, to increase efficiency and minimize redundancy.
- Consequential reviews must occur at regular intervals throughout a faculty member's entire career.
- Professional development plans must be revised following summative reviews and should vary according to the individual's career progression.
- Summative reviews must include input from stakeholders–for example, students, alumni, and those with appropriate expertise; assessment of pedagogy by distinguished teachers; peer review by members of the academic discipline; and, when appropriate, peer review by the scholarly community of the discipline.
- When unsatisfactory performance is documented, specific goals consistent with the individual's professional development must be affirmed in writing.

Policy Recommendation

37. Colleges and universities must review all faculty evaluation processes, take steps to eliminate redundancy, and ensure that all reviews are consequential. In devising effective and efficient review systems that best meet their needs, institutions must aim for the best possible reviews at the lowest possible cost.

Annual Evaluations and Merit Pay Reviews

Virtually every college and university has a system of annual evaluation of faculty, primarily for the purpose of annual salary adjustment. These systems are based on performance in teaching, research/scholarship and service. Boyer (Scholarship Reconsidered, 1989) found that the value placed upon each of these varies substantially by Carnegie classification; this is true particularly with regard to the balance between teaching and research. Further, the difficulty in identifying reliable means of evaluating each often results in over-reliance on the research component, whether or not that is most highly valued by the institution. This is because research/scholarship is easy to measure. As institutions increasingly have moved toward acknowledging teaching as a more significant component of faculty work, new means have been explored to measure performance in teaching. But the reward system has been slow to respond to this shift in institutional priority.

The traditional evaluation, ranking, and reward system at most research universities is based on a standard distribution of time (40 percent teaching, 40 percent research, 20 percent service). An emerging trend is to supplement the traditional system with one that relies on the collective achievement of departmental goals by coordinating individual strengths and talents, areas of interest, and stages in academic careers. Ultimately, a collaborative atmosphere may replace one of competition, and institutions' human resources may be allocated to more effectively support their missions.

The movement toward collective achievement requires that multiple criteria be employed to evaluate each aspect of faculty work. This is especially true in the area of teaching effectiveness, the evaluation of which should include validated student rating data as well as classroom observations by both a "master teacher" and a content specialist. Evaluation should be based on individualized goals and expectations established by the department head and faculty member; these goals should be consistent with the mission and objectives of the academic unit rather than the ranking of faculty in comparison to one another. The annual cycle of establishing goals and objectives, performing evaluations based on those goals and objectives, and determining salary increases is a process of allocating resources (faculty time) as well as evaluating and rewarding performance.

The process should be based on the assumption that faculty will meet its objectives collectively and consequently capitalize on the combination of individual strengths. The evaluation should include both data and narrative and should provide formative and summative information to the individual and the institution.

Key in the effort to reestablish public trust in higher education has been a focus on building and maintaining the highest quality faculty. The process used to hire and reappoint faculty is at the core of this effort. Traditionally, peers are involved in the earliest stages of the process. Individuals in one's academic discipline at the departmental level are in the best position to evaluate credentials in a particular discipline. These are also the individuals who will work on a daily basis with the faculty member they are evaluating and whose future they are determining with regard to reappointment and tenure decisions. As we seek to establish multiple criteria for evaluating the different components of faculty work and to incorporate peer input based on different areas of expertise (such as content and pedagogy), institutions may wish to consider more internal interdisciplinary first-step peer review committees.

Merit Pay

Once an institution has in place a reliable system for annually evaluating its faculty, merit pay can be an effective means of enhancing outcomes, further restoring public trust in higher education, and enhancing institutional flexibility.

However, merit pay generates tension between the institution's need to direct limited financial resources to support its mission and the faculty's concern that those most favored by the administration will be the principal beneficiaries of a performance-based compensation system. Nevertheless, many institutions have incorporated merit pay into compensation plans, in addition to such traditional means of recognition as promotion, travel funds, institutional support for research and scholarship, etc. According to advocates of merit pay, annual increases in compensation based on longevity alone promote mediocrity and discourage highly motivated and performing faculty.

Faculty associations and bargaining representatives generally have not supported merit pay, but the model has wide public and institutional support. Some faculty representatives suggest that merit pay, if considered at all, must be in addition to competitive base salaries; must include opportunities for all faculty to obtain higher salaries and career advancement; must involve faculty in the development of the plan; must be based on objectives agreed to in advance; must include developmental opportunities where appropriate; and must be appealable.

It is also important that criteria be well communicated and clearly understood by all parties. Institutions should inventory all forms of recognition and reward utilized; these forms should be augmented if appropriate. They should be based on criteria developed for this purpose and should be implemented in a fair and impartial manner. Further, the institution must consider whether to provide merit pay in the form of increases to base salary (a method which has long-term financial consequences) or as one-time cash bonuses (to reward accomplishment) or a combination of the two. Consideration should be given to publicizing recipients' names both within the institution and externally, if appropriate. Finally, an approach to merit pay based on the individual accomplishments and interests of faculty, which, in turn advance the collective effort of academic units and the institution, warrants serious consideration. Collaborative or group rewards, including merit pay for achievement of strategic institutional goals are a logical follow-up.

Policy Recommendations

38. All postsecondary institutions must have an effective annual performance evaluation system. As their mix of full-time, part-time, adjunct, and other employment arrangements is developed, it is critical that institutions integrate effective annual performance evaluation into faculty roles and reward systems—both for its stand alone value and as a foundation for all other types of performance review. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 26, 27, 44 and 46.)*

39. Reviews for determination of merit pay must be linked directly to institutional goals and mission. A strategic variety of rewards for merit should be considered, and particular attention should be paid to both individual and collective achievements.

Comprehensive Mid-Probationary Review

The comprehensive mid-probationary review is a summative, developmental review of a candidate's progress toward meeting the institution's written criteria for achieving promotion and tenure. Comprehensive mid-probationary reviews serve as a written early warning system for probationary faculty regarding their current level of productivity and progress toward tenure.

Comprehensive mid-probationary reviews assess the current status and future professional potential of tenure-eligible faculty members. Reviews must objectively assess candidates' strengths and weaknesses and contributions to departmental and institutional objectives.

Because of their greater depth and the additional peer review involved, comprehensive mid-probationary reviews provide greater accountability than annual reviews. Mid-probationary reviews are more than the sum of annual reviews, so they may replace the annual review in the year(s) they are performed.

At all institutions that award tenure, faculty members must receive a mid-probationary written evaluation from the department and the next highest administrative level indicating whether the current level of performance merits continuation on tenure track. Assessment of satisfactory achievement/progress made and suggestions for further development, even

if completed in the time specified, should not constitute a guarantee of tenure.

Comprehensive mid-probationary reviews result in one of several outcomes:

Overall Satisfactory Performance
A faculty member performing satisfactorily will continue on tenure track. Suggestions for improved performance or correction of any identified deficits will be made so the candidate can better understand the expectations for meeting tenure criteria. This in no way guarantees a positive tenure recommendation, even if the candidate addresses such concerns. It does indicate that the department and the next highest level would likely support the candidate for tenure even if the candidate addresses concerns and continues to perform and develop at the current level.

Candidate Needs Improvement in One or More Areas
The current pattern of achievement puts the candidate at risk of not achieving tenure. Nonetheless, the candidate has the potential to improve sufficiently to achieve tenure and should receive an additional probationary contract. The candidate, working with the department chair and the next highest level, must develop a plan of action to remedy noted deficiencies. Every institution should develop a system to monitor the development of faculty in this category.

Removal from Tenure Track
Candidates whose performance is substantially deficient and are found unlikely to receive tenure must not receive an additional probationary appointment after the comprehensive mid-probationary review. In most cases this will lead to a terminal contract.

Policy Recommendation

40. Faculty at all institutions that award tenure must receive written mid-probationary performance evaluations indicating their progress toward tenure no later than the mid-point of their probationary period.

Promotion and Tenure Reviews

Tenure is considered one of the most important decisions made by an institution, representing a major commitment and investment of resources for both the faculty member and the institution. The award of tenure is not solely a reward for services performed during the probationary years but is an expression of confidence that the faculty member will continue to be a valued colleague, effective instructor, and active scholar, artist, or leader in the profession. Consequently, it defines the intellectual character of the institution.

Through tenure, the institution confirms its commitment to academic freedom, honors its obligation to provide a sufficient degree of economic security, and supports the continuous professional development of the faculty member. For their part, faculty members accept the obligation to serve the institution through the pursuit of teaching excellence, scholarly contributions, and service to the professional community.

As with tenure, criteria for promotion in academic rank should reinforce the institution's mission and values and should be clearly expressed in writing. Promotion is not automatic but recognizes merit and ability. Although promotion to associate professor traditionally is concurrent with the award of tenure, one decision does not necessarily presuppose the other. Institutions should take particular care to define separate standards for promotion and tenure in ways that make it clear when those standards are made distinct and where they overlap or presuppose the other. Tenure and promotion decisions are on the basis of the recommendations of peers in the academic discipline, expert reviewers, and appropriate administrators.

Policy Recommendation

41. Criteria and expectations for tenure, as well as criteria for promotion in academic rank, must be compatible with the mission of the institution, developed in consultation with faculty, and approved at the institutional level. Although complex legal issues arise when an institution asserts the right to deny tenure based on constraints such as fiscal or programmatic concerns, the value of communicating these potential constraints to candidates for faculty positions makes candor preferable to silence.

Post-tenure Review

Post-tenure review has become a major focus of attention for higher education policy makers in the last five years. Licata (1998) reports that post-tenure review is being considered or implemented in more than 30 states. The need for such ongoing evaluation of tenured faculty has been a source of contention since 1982 when the National Commission of Higher Education recommended that tenured faculty be reviewed periodically. AAUP's most recent statement (12/9/98) continues to raise concerns about the need for, cost of, and outcomes of post-tenure review.

Such review typically is a systematic and comprehensive process, is separate from the annual review, is aimed specifically at assessing performance and/or encouraging faculty growth and development. The process may be initiated for all tenured faculty or for certain tenured faculty as the result of some trigger event. Faculty may also volunteer for such a review for personal or professional reasons.

Despite the tensions surrounding post-tenure review, pressure for increased accountability and the need to reclaim public trust in higher education have kept it at the forefront of discussion both within and outside the academy. The public perception of an aging, less productive professoriate as an outcome of the elimination of mandatory retirement has strengthened demands for post-tenure review.

Two purposes underlie post-tenure review policy development:

- Formative reviews are developmental in nature. The institution's role is principally to provide support and appropriate resources to help advance a faculty member's growth and to promote institutional and departmental missions and goals.

- Summative reviews identify a faculty member's performance level against a standard. When performance is above the norm, rewards may follow; when performance is below an acceptable level, outcomes may include a professional development plan or sanctions.

Few "pure" examples of these two approaches exist. Many of the post-tenure review systems in place, or under development at this time, reflect some combination of these purposes. This can lead to complex situations as stakeholders attempt to negotiate compromises in policy and procedures to represent their different purposes. The task is challenging and it remains to be seen whether any of the various approaches being developed and implemented can serve all of these purposes equally well.

Licata and Morreale (1996, pp. 10–15) identify five options for the design of post-tenure review systems:

Post-tenure Reviews Based on Annual Reviews
Rigorous annual reviews, where already in place, can serve as the primary component of a post-tenure review system. The range of annual review practices is considerable, however, and can involve anything from a one-page summary of achievements to an extensive portfolio of performance data. Given this variability, it is understandable that some policy makers and university administrators alike may have little faith in the annual review as a vehicle for providing feedback about long-term career development. Innovative approaches to annual reviews include the practice of conducting the review annually but each time considering data from a period longer than one year. For example, in Arizona, annual reviews now are based on documented performance information from the previous 36 months.

Summative (Periodic/Consequential)
Periodic comprehensive reviews of all faculty members are conducted by a peer committee, administrators, or both, according to a prescribed cycle, usually about five years in duration. Outcomes may involve rewards for outstanding performance and required professional development plans when performance is deemed unsatisfactory. If progress remains unsatisfactory after a given time, substantial administrative sanctions may be imposed.

Summative (Triggered/Consequential)
This form of summative review differs from the periodic/consequential in that only selected faculty members are reviewed; these are identified by unsatisfactory performance detailed in an earlier review (or series of reviews). Consequences usually are defined in advance.

Formative (Departmental)
This type of review focuses on the establishment of a professional development plan for each faculty member. The plan is developed with the department head

or dean and emphasizes the academic needs of the university as well as the career interests of the faculty member.

Formative (Individual)
Individual formative reviews are periodic and are directed toward the long-term development of faculty. As a result of this review, a development plan is formulated in conjunction with peers, and institutional support is made available. There are no consequences for failure to meet one's development plan, and materials collected cannot be used in dismissal-for-cause proceedings.

Faculty development should be a significant aspect of post-tenure review. We support Licata's and Morreale's recommendation that post-tenure review systematically and comprehensively assess performance, include significant peer involvement, assist individual faculty in establishing long-term professional goals within the context of institutional mission and priorities, and make it easier to remove chronic non-performers.

Academic administrators at institutions with post-tenure review generally are positive about the process. In those systems and institutions where post-tenure review coexists with collective bargaining, such review has been sustained through successive rounds of negotiations.

Evidence of the relationship between post-tenure review and administrative sanctions is less compelling; this includes dismissal for cause, though a pattern of increased use of early retirement options seems to be emerging.

Tensions

Some perceive external stakeholders' role in promoting post-tenure review as an infringement on institutional autonomy. Many faculty are concerned that administrators will use post-tenure review to summatively, arbitrarily, and capriciously dismiss "unwelcome" faculty. Others are concerned that administrators do not use the personnel evaluations and sanctions already available. Historically, tenure was created to protect academic freedom, not to guarantee continuing employment for chronically poorly performing faculty. Consequently, post-tenure review systems must uphold the protection of academic freedom and reflect established minimum performance standards below which continued employment cannot be assured. Likewise, post-tenure review systems must incorporate faculty development to maximize institutions' substantial investment in tenured faculty by sustaining and revitalizing performance.

Many are concerned about the time and resources that must be devoted to post-tenure review. Mandated post-tenure review can be unnecessarily time consuming given that the vast majority of well-performing faculty do not need such intensive review. Finding the appropriate balance between sensitivity to disciplinary differences and adherence to campus-wide standards is another primary concern.

Post-tenure review also can have unintended consequences. For example, if the period of review is short, faculty may be inclined to produce short-term scholarly work rather than pursue extended efforts that may not provide formal outcomes for several years. Similarly, the ongoing scrutiny of short-term teaching performance may be a disincentive to the development of innovative teaching practices–particularly those involving high-tech delivery. For many faculty, ongoing scrutiny of performance may prove counterproductive to innovation.

Whatever post-tenure review may achieve, it is not a "quick fix" to the problems facing higher education. Nor is an appropriate strategy for addressing the difficult issues of resource reallocation and restructuring. Specifically, a faculty member who is performing satisfactorily in a program area for which demand is low should not be judged as performing unsatisfactorily in order to address the demand problem.

Policy Recommendations

42. Every institution that grants tenure must require post-tenure review.

43. The purpose of post-tenure review is to support career-long faculty development and to provide quality assurance. Where possible, post-tenure review systems should involve rewards for high performance and consequences for chronic poor performance; the most intensive review efforts should focus on identifying chronic poor performers. Institutions should give consideration to both periodic post-tenure review systems mandated for all and systems where a series of poor performance on annual reviews triggers a post-tenure review.

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Review of Part-time and Contract Faculty

The number of part-time and contract (or non-tenure track) faculty has grown significantly in colleges and universities of all sizes. Many different stakeholders have voiced concerns about potential effects on the quality of education. Part-time faculty should be fully integrated into the campus environment. They provide institutions with the flexibility to respond programmatically to clearly defined community and student needs. However, part-time and contract faculty at many institutions are less likely to receive regular evaluations, serve on committees, participate in faculty governance, attend professional conferences, engage in research, and have opportunities to interact with colleagues.

Many of the concerns pertaining to part-time faculty could be addressed if institutions were to implement regular evaluations that would assess in-class teaching and other responsibilities such as course preparation, student advisement, and service. Individual evaluations ideally would have both formative and summative components and would stress continuous professional improvement.

Program evaluations, using criteria established by the institution, state oversight departments, commissions, and accrediting agencies should assess the role of part-time faculty members in advancing program goals.

At the invitation of the American Historical Association, eight disciplinary associations met in the fall of 1997 to assess the excessive use of part-time faculty. Those associations concluded that higher education should develop new forms of compensation and recognition to address inequities associated with current use of part-time faculty, or rethink training and contractual arrangements for those who are assigned to courses typically taught by part-time faculty.

Policy Recommendation

44. Colleges and universities must have in place policy statements which establish periodic formal evaluations for part-time and contract faculty. These statements must be based on established, published criteria developed in consultation with those faculty and based on the institution's expectations and the faculty's level of involvement apart from individual teaching responsibilities. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 26, 27, 38 and 46.)*

Accreditation Reviews

Faculty performance is scrutinized in the context of regional and professional accreditation reviews based on standards designed primarily by the sponsoring agency. Unfortunately, these standards may conflict with the mission and goals of the campus under review. Ideally, colleges and universities should seek only those specialized accreditations that are consistent with institutional and departmental missions and that emphasize quality improvement.

Accreditation processes best serve higher education when accreditors relate faculty achievements to those of their peers and provide substantive comments regarding professional development opportunities.

Accrediting agencies are urged to partner with higher education to develop standards that will enable institutions to proactively address the challenges posed by distance learning, increasing demands for accountability, vastly increased access, and commercial competition. Merely meeting standards will not enable the nation's education system to meet the needs and challenges of people in the 21st century.

Policy Recommendation

45. Institutions must make strategic decisions about which accreditations they wish to pursue and must select only those agencies which recognize and support individual institutional missions and higher education's mandate to respond to the changing world of learning and work.

Cohort Studies and Data Sharing

Some institutions have developed strategies for informing their governing boards about the nature of higher education and its unique values. Faculty personnel management is one area which has been given particular attention. Legitimate confusion regarding tenure in public schools versus tenure in higher education can be corrected through presentation of institutional cohort studies that track over six or seven

years the employment status of all the full-time faculty hired in a given year. On campuses where such studies have been conducted, cohort studies demonstrate that not everyone hired into a tenured position receives tenure, and that there is significant attrition in the pre-tenure period. The result is opportunities to redefine positions according to updated institutional needs.

As more institutions develop different employment arrangements and strategies more areas deserving closer attention will appear. The working years of the tenured workforce were "uncapped" in 1994 when the Age Discrimination in Employment Act (ADEA) was applied to higher education. Little analysis of the potential impact of this has been done, and further analysis is necessary. "Term tenure," which would limit tenure to a specified number of years, or creative retirement incentives may need to be explored. Studies could provide data to ensure that institutional effectiveness is well served and that no discriminatory impacts are created. They also could be instructive in planning future hiring, faculty evaluation, and institutional orientation efforts.

In addition to conducting institutional studies, colleges and universities need to gather and share more information about their personnel policies, practices, and procedures. The recently established listserv on post-tenure review (posttenure@osfmail.isc.rit.edu) sponsored by the American Association of Higher Education's (AAHE) New Pathways II Project is an example of how the Internet can be used effectively to inform and help practitioners and policy makers. The Project on Faculty Appointments, led by Richard Chait, A. Ann Trower, James Honan, and Holly Madsen, will further aid this effort by establishing an information clearinghouse on faculty appointment policies around the country.

Policy Recommendations

46. Institutions should gather and use information about each year's cohort of instructional personnel, tracking new hires through tenure, renewal of contract, rehiring, etc., and monitoring how women and minorities fare in employment decisions. *(Regarding part-time faculty: see also recommendations 6, 8, 9, 13, 26, 27, 38 and 44.)*

47. Institutions should monitor patterns of faculty retirement over the next several years in order to determine whether institutional responses to the effects of "uncapping" the retirement age of the tenured workforce are needed.

48. A national study of the effects of early retirement incentive programs should be undertaken by higher education research associations such as the Association for Institutional Researchers (AIR) and/or the American Educational Research Association.

49. Institutions should conduct studies of past offerings of retirement options/incentives to determine whether they have been institutionally advantageous.

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Policy Recommendations

1. Tenure should be maintained, but institutions must be vigilant to ensure its integrity in concept and practice, through rigorous evaluation and innovation when appropriate. Except in institutional environments where the mission or program dictates otherwise, a substantial proportion of the faculty should be tenure eligible.

2. Institutions should implement deliberate efforts to enhance both faculty and public understanding of the obligations on faculty that are entailed by the tenure system.

3. The probationary period, during which tenure-eligible faculty are rigorously evaluated consistent with institutional mission expectations, should be retained. Any practice of granting tenure principally on the basis of length of service should be eliminated.

4. Institutions should explore the utility of variations in the probationary period, appropriate to variations in discipline and/or assignment. Similarly, institutions should continue the practice of "stopping the tenure clock" for reasonable cause; other adjustments, when appropriate, should be considered.

5. Institutions should establish locus of tenure upon hiring of tenure-track faculty and should consider varying the locus of tenure for faculty, appropriate to differences in discipline/assignment and institutional need. When variances occur, reasons should be explicit.

6. Institutions of higher education should have clear, written policy statements and procedures regarding the employment of nontenure track faculty; such policies should detail recruitment, selection, and appointment processes, including minimum academic qualifications.

7. Reappointment of nontenure track faculty should be based upon evaluation governed by established procedures.

8. Part-time faculty should be compensated equitably relative to the institution's full-time faculty. The concept of equity includes consideration of market and disciplinary differences as well as salary structure across the institution. *(Regarding part-time faculty, see also recommendations 6, 9, 13, 26, 27, 38, 44 and 46.)*

9. Institutions should provide benefits, support services and opportunities for career advancement and collegial participation for nontenure track faculty whenever feasible. *(Regarding part-time faculty, see also recommendations 6, 8, 13, 26, 27, 38, 44 and 46.)*

10. Institutions should develop flexible arrangements in determining distribution of faculty effort. Such arrangements would accommodate both changing institutional needs and individual faculty members' changing professional interests.

11. Institutions should determine the appropriate "mix" of faculty positions and categories of employment based on mission and educational benefits as well as financial resources. The mix could vary across units within a single institution.

12. Accrediting agencies should reexamine the validity/necessity of constraints on institutions regarding faculty "mix."

13. Formal faculty recruitment plans, both for full-time and for part-time positions, should be developed at appropriate levels (e.g., institutions or academic units). *(Regarding part-time faculty, see also recommendations 6, 8, 9, 26, 27, 38, 44 and 46.)*

14. Institutions should improve and enhance the professionalism of their search processes.

15. Institutions should develop, implement, and monitor hiring procedures designed to enhance faculty diversity.

16. Orientation and development of new faculty should prepare them to better fulfill the roles of teaching, scholarship, and service. This should be a major institutional commitment supported by institutional financing.

17. Annual retirement planning programs should be integrated into professional development.

18. Policies should permit layoff and retrenchment in response to mission or program alterations.

19. Policies should permit institutions to consider measures of performance as well as seniority in determining which faculty will be affected by layoff/retrenchment.

20. When an institution determines that layoff/retrenchment is necessary, it should assist affected faculty members in identifying alternative employment possibilities.

21. Institutions should have policies and procedures on separation for cause that respect the rights of all parties and provide for timely disposition.

22. Institutions should constantly improve and update faculty development opportunities, taking into consideration the changing needs of the institution, the changing nature of both the student body and the faculty, and the changing nature of knowledge. They should devote resources sufficient to support appropriate development for faculty at all stages of their careers.

23. Benefits of faculty development and valued outcomes should be aggressively communicated. The institution's mission and goals should be emphasized in these communications.

24. Institutions should commit financial resources to educate and train faculty in service/outreach.

25. Institutions of all kinds should increase the value of high quality teaching in tenure and promotion decisions.

26. Because of its potential to adversely affect students and institutions, the extensive use of part-time faculty should be carefully re-examined as part of a larger re-examination of appropriate faculty mix. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 27, 38, 44 and 46.)*

27. The American model of promotion through the faculty ranks has had a beneficial impact on the professional development of faculty in all categories of higher education. It is imperative that this model be retained and that both part-time and nontenure track faculty have opportunities for similar advancement and reward. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 26, 38, 44 and 46.)*

28. The higher education community should clearly communicate to all constituencies the importance of teaching in promotion and tenure decisions at institutions of all kinds.

29. Higher education communities should carefully review awards and incentives to ensure that they are closely linked to institutional initiatives and that they reflect changing expectations.

30. Institutions should develop and implement strategies to more effectively communicate to the public the benefits of sabbaticals to students, institutional mission, and the community.

31. Institutions need to continue to strengthen the sabbatical process. While many institutions are demanding greater accountability, all institutions should have policies that require a rigorous application process, means of monitoring progress, and appropriate dissemination of the results.

32. Institutions should consider allowing greater flexibility in the traditional sabbatical program, to include faculty improvement leaves.

Institutions should provide faculty professional development opportunities that include four broad areas of support:

33. Education opportunities (technology use and teaching, learning, and evaluation issues and methods; curriculum design processes).

34. Access to people, materials, and equipment during the entire curriculum design, development, delivery, and evaluation process.

35. Funding for release time (including sabbaticals), technology purchases and upgrades, and materials.

36. Guidance and assistance in documenting and evaluating the impact of curriculum change and technology enhancements.

37. Colleges and universities must review all faculty evaluation processes, take steps to eliminate redundancy, and ensure that all reviews are consequential. In devising effective and efficient review systems that best meet their needs, institutions must aim for the best possible reviews at the lowest possible cost.

38. All postsecondary institutions must have an effective annual performance evaluation system. As their mix of full-time, part-time, adjunct, and other employment arrangements is developed, it is critical that institutions integrate effective annual performance evaluation into faculty roles and reward systems—both for its stand alone value and as a foundation for all other types of performance review. *(Regarding part-time faculty, see also recommendations 6, 8, 9, 13, 26, 27, 44 and 46.)*

39. Reviews for determination of merit pay must be directly linked to institutional goals and mission. A strategic variety of rewards for merit should be considered, and particular attention should be paid to both individual and collective achievements.

40. Faculty at all institutions that award tenure must receive written mid-probationary performance evaluations indicating their progress toward tenure no later than the mid-point of their probationary period.

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Draft policy documents on faculty development were used from five different institutions. Only two were in an advanced or complete form and available for public use during the pendancy of this study. All are listed since they may well be complete upon publication of our final report.

- Massachusetts Distance Education Consortium
- The University of Central Florida
- The University of Cincinnati http://www.uc.edu/www/faculty/dev/facdevdefault.html)
- The University of Michigan
- The University of Minnesota

Also worth review are sample programs from:

- The University of Central Florida (http://reach.ucf.edu/~fctl and http://pegasus.cc.ucf.edu/~distrib/)
- The University of Cincinnati (http://www.uc.edu/www/faculty/dev/facdevhome.html)
- The University of Iowa (http://www.uiowa.edu/~centeach/)
- The University of Michigan (http://www.oit.itd.umich.edu/)
- Indiana University/Purdue University Indianapolis (http://www.indiana.edu/~iudisted/dlresources/facdev1.html)

Policy Work Group #3
Faculty Review Policies

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Institutional Contracts/Policies

Faculty review policies meriting thoughtful consideration can be found at:

- Centenary College, New Jersey
- The College of New Jersey
- Kean University, New Jersey
- Cameron University, Oklahoma
- Montclair University, New Jersey
- San Diego Community College District, California
- University of Delaware
- University System of Georgia
- Georgia Southern University
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